THE FIRST MOVEMENTS OF SERGEI BORTKIEWICZ'S TWO PIANO SONATAS, OP. 9 AND OP. 60: A COMPARISON INCLUDING SCHENKERIAN ANALYSIS AND AN EXAMINATION OF CLASSICAL AND ROMANTIC INFLUENCES

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The purpose of this study is to analyze the first movements of Sergei Bortkiewicz's two piano sonatas and compare them with works by other composers that may have served as compositional models. More specifically, the intention is to examine the role of the subdominant key in the recapitulation and trace possible inspirations and influences from the Classical and Romantic styles, including Mozart, Beethoven, and Schubert. The dissertation employs Schenkerian analysis to elucidate the structure of Bortkiewicz's movements. In addition, the first movement of Mozart's Piano Sonata K. 545, Beethoven's *Coriolan Overture*, and the first movement of Schubert's "Trout" Quintet in A, D. 667, are examined in order to illuminate the similarities and differences between the use of the subdominant recapitulation by these composers and Bortkiewicz.

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CHAPTER 1

INTRODUCTION

1.1 Purpose of this Study and the State of Research

The purpose of this study is to analyze the first movements of the two piano sonatas by Sergei Bortkiewicz (1877–1952) and compare them with works by other composers that may have served as his compositional models. More specifically, the intention is to examine the role of the subdominant key in the recapitulation and trace possible inspirations and influences from both Classical and Romantic styles, including Bortkiewicz's precursors, especially Mozart (1756–1791), Beethoven (1770–1827), Schubert (1797–1828), and Chopin (1810–1849), and later composers such as Tchaikovsky (1840–1893) and Rachmaninoff (1873–1943). The study employs Schenkerian analysis to elucidate the structure of the first movements of Bortkiewicz's sonatas. In addition, the first movement of Mozart's Piano Sonata in C major, K. 545, Beethoven's *Coriolan* Overture, and the first movement of Schubert's "Trout" Quintet in A major, D. 667 is examined in order to illuminate the similarities and differences among the use of the subdominant recapitulation by these composers and Bortkiewicz.

The concept of "double return," which means the simultaneous return of the main theme and the home key in the recapitulation, became a standard principle of formal design in the 1770s.[1] However, some composers, including Mozart, Beethoven, and Schubert, started to break with this convention, developing different tonal structures for the recapitulation. Why did these composers break the rule of the double return? What were they trying to express, and what possible meanings were concealed within these different

[1] Mi-Sook Han Hur, "Irregular Recapitulation in Schubert's Instrumental Works" (Ph.D. diss., City University of New York, 1992), 13–14.

tonal procedures? In this study, by comparing how Bortkiewicz uses the subdominant key in his recapitulations with similar procedures in possible models, I shall attempt to shed new light on these questions.

Due to the upheavals of the twentieth century, the whereabouts of the manuscripts and scores of some of Bortkiewicz's works are still unknown. Some of his music disappeared from the repertoire for a while, but fortunately, a number of performers and scholars have come to appreciate his music and have been starting to promote it. Even though researchers who have primarily focused on Bortkiewicz's contribution to Ukrainian and Russian music have begun to investigate his life and compositions, focusing on his style and his music in relation to his turbulent life, there is still no Schenkerian analysis of Bortkiewicz's two piano sonatas. Yet analyzing a composition is an important step for performers when studying a work. In this respect, the great pianist Paul Badura-Skoda (1927–2019) observed in an interview: "Edwin Fischer (1886–1960), Wilhelm Furtwängler (1886–1954), Hermann Scherchen (1891–1966), Hans Knappertsbusch (1888–1965), these great musicians, these great minds that I had the good fortune to know, and with whom I had the joy of playing and working, saw the architecture of a piece as their primary priority."[2]

In this study, I adopt the Schenkerian approach to describe the tonal organization of the first movements of the two piano sonatas by Bortkiewicz and also structurally related pieces by other composers. By comparing graphs of these works, we see the different roles of the subdominant recapitulation, which function as a passing chord on the way to the dominant key or as the neighbor tone of the dominant key.

[2] Frederic Gaussin, Interview with Paul Badura-Skoda, "iplaythepiano.com," last modified March 27, 2020, https://www.iplaythepiano.com/piano-mag/interview.php?f=paul&n=badura-skoda

The graphs of the fundamental structures are clues to how composers elaborate the subdominant recapitulation, which can be seen to have the following functions. a) It can be viewed as a preparation of the return to the tonic.[3] b) It can be part of a "continuous" tonal motion without interruptions.[4] c) The whole section of the exposition and the development can be viewed as a huge "passing section," encompassing the arrival of the unusual subdominant recapitulation. d) The subdominant recapitulation can be an extension of the development section, creating an uncertain and unstable atmosphere, since the interval of the fourth above an assumed tonic pedal can be treated as both a consonance and a dissonance simultaneously.[5]

In addition to the structural influences discussed above, Bortkiewicz builds upon the musical styles of Chopin, Tchaikovsky, and Rachmaninoff. This study focuses on these three composers because of their origins and cultures. Bortkiewicz's mother, Sophia Uschinskaja (1850–1920), was of Polish descent and encouraged him to learn music.[6] In addition, Count von der Osten-Saken's wife, who had been a student of Chopin, loved to hear Chopin's music played by Bortkiewicz. This appreciation from a former student suggests that Bortkiewicz intuited the style of Chopin's works.[7] Given these factors, it is natural that he thoroughly absorbed the style of Chopin's music. Sustained pedals and widely spread broken-chord

[3] James Webster, "Schubert's Sonata Form and Brahms's First Maturity," *Nineteenth Century Music* II (1978): 31–33.

[4] Hur, " Irregular Recapitulation," 112.

[5] *Grove Music Online*, s.v. "Fourth," by William Drabkin; accessed 14 Apr. 2020.

[6] Jeremiah A Johnson, "Echoes of the Past: Stylistic and Compositional Influences in the Music of Sergei Bortkiewicz" (DMA document, University of Nebraska–Lincoln, 2016), 17.

[7] Sergei Bortkiewicz, *Recollections, Letters and Documents*, trans. & annotated Bhagwan Thadani (Winnipeg: Cantext, 2007), 21. Bortkiewicz recollects that Count von der Osten-Saken's wife "always wanted to hear Chopin from me."

accompaniments are characteristic features of Chopin's style that reappear in Bortkiewicz's music frequently.[8]

If Chopin inspired Bortkiewicz's style of piano writing, Tchaikovsky is another compositional model to be reckoned with. Bortkiewicz mentions Tchaikovsky in his recollections several times; sometimes Bortkiewicz has even been called an epigone of Tchaikovsky.[9] Examples are provided in later chapters showing the influence of Chopin, Tchaikovsky, and Rachmaninoff. Bortkiewicz himself remarked in any interview in 1948, however: "I have often been called an epigone of Tchaikovsky, but that is not correct: I certainly create music in the atmosphere of Tchaikovsky and may well count myself among the Romantics, but I have retained my personal character."[10] He continued: "Today one is probably inclined to dismiss all melodicists as epigones. Certainly, very often wrongly. Especially as far as I am concerned, Romanticism is not the bloodless intellectual commitment to a program, but the expression of my most profound mind and soul."[11] This study aims to demonstrate that he was not an epigone and how in fact he preserves the essence of Romanticism in a novel way.

1.2 Historical Background

Sergei Bortkiewicz was a renowned Ukrainian composer and pianist.[12] Although he

[8] *Grove Music Online*, s.v. "Chopin, Fryderyk Franciszek," by Jim Samson; accessed 12 Sep. 2020.

[9] Wouter Kalkman, "Sergei Bortkiewicz: His Life and Music," www.bortkiewicz.com; accessed March 29, 2020.

[10] Ibid.

[11] Ibid.

[12] Levkulych Yevhen, "Concert Activity of Sergey Bortekevich in the Beginning of the 20th Century: Historiographical Aspect"; accessed March 28, 2020, https://doi.org/10.32461/2226-3209.4.2018.153128. Citation from the article: In the *Rigasche Rundschau* newspaper, on April 3, 1908, the music critic Hans Schmidt wrote of Bortkiewicz: "Having manifested himself in all his talents as a virtuoso of the first rank and the noblest class, he at the same time lived in his playing with the spirit of his teacher."

was born in the Ukraine, he called that country by its Russian name, Little Russia.[13] Bortkiewicz composed only two piano sonatas, which were written in 1903, before World War I, and 1942, during World War II. The second sonata is his last major work for piano.[14]

Bortkiewicz was raised in a supportive musical environment. His mother, Sophia, played the piano well and loved music passionately. Moreover, she was the co-founder of the Imperial Russian Musical Society. Thanks to his mother, Bortkiewicz had opportunities to attend and immerse himself in many concerts[15].

While Bortkiewicz was still in Kharkov, the city in which he was born, he received piano training from Albert Bensch (1861–1915).[16] After he graduated from high school in Kharkov, he moved to St. Petersburg and studied law at the Imperial Conservatory. Due to his yearning for music, he also studied piano with Professor Karl van Ark (1839–1902), who was recommended by Bensch, and a former student of Leschetizky (1830–1915).[17]

Although Bortkiewicz loved his homeland a great deal, he thirsted to study abroad, especially in Germany. Before he could be allowed to study overseas, he had to complete his military service. Thus, in fall 1899, he enrolled and started his military service with the Alexander Newsky Regiment in St. Petersburg as a volunteer for a one-year term. However, the service did not last long, because he was seriously ill.[18] In fall 1900, Bortkiewicz fulfilled his desire to study music in Germany. Moreover, he became a student of the well-known pianist Alfred Reisenauer (1863–1907), a former student of Franz Liszt (1811–1886), at the

[13] Bortkiewicz, *Recollections*, 9.

[14] Ibid., 76.

[15] Ibid., 1.

[16] Great Russian Pianists, "Albert Bensch," https://www.greatpianists.org/pianists/b/albert-bensch, accessed April 29, 2021.

[17] Bortkiewicz, *Recollections*, 3–4.

[18] Ibid., 6–7.

Leipzig Conservatory.[19] In July 1902, Bortkiewicz was awarded the Schumann Prize before he graduated from the Conservatory. The date 18 July 1904 was a big day for Bortkiewicz, because he married Elisabeth Geraklitowa (？–1960), who accompanied him and shouldered all difficulties with Bortkiewicz for the rest of his life.[20] The same year, the couple settled in Germany, where he gave a number of recitals in Berlin, Leipzig, and Munich.[21]

Living in Berlin was a new period for Bortkiewicz. He started his career as a composer, soloist, and collaborative pianist, including working with the famous opera diva Emmy Destinn (1878–1930) in large cities. Bortkiewicz also taught at the Klindworth–Scharwenka Conservatory in Berlin. During this period, the most fortunate thing was that he made a lifelong friend, the well-known Dutch pianist, composer, and musicologist Hugo van Dalen (1888–1967).[22]

However, World War I (1914–18) thoroughly changed Bortkiewicz's life. Due to his Russian origin, he was put under house arrest, then forced to leave Berlin. He came back to Kharkov, becoming a piano teacher and giving concerts. He met the famous composers Alexander Scriabin (1872–1915) and Sergei Taniejew (1856–1915) in Moscow during this time. According to Bortkiewicz's recollections, he appreciated Scriabin's music but expressed dislike of the composer's later musical style. These statements show Bortkiewicz's disfavor of modern music. Another well-known composer–pianist, Sergei Rachmaninoff, was mentioned in Bortkiewicz's recollections because of his talent.[23]

Continuing his misfortunes, Bortkiewicz experienced the Russian revolution after the

[19] Bortkiewicz, *Recollections*, 12–13.

[20] Kalkman, "Sergei Bortkiewicz."

[21] Ibid., 18–19.

[22] Ibid., 19–21.

[23] Bortkiewicz, *Recollections*, 23.

end of World War I, when he and his family had to flee their estate at Artiomowka when it was occupied by the communists. Although in 1919 Bortkiewicz had a chance to rebuild the family estate, he quickly escaped to another country.[24]

Before Bortkiewicz and Elisabeth arrived in Austria, they had briefly stayed in the Crimea, Yalta, and Constantinople. Even though he gradually got used to living in Constantinople and had students, he still longed to live in Europe. In 1922, the Bortkiewiczes arrived in Austria, settling in Vienna the next year.[25] Thanks to the help of Paul de Conne (1874–1959), Bortkiewicz's former colleague in St. Petersburg, he was introduced to Viennese musical circles and publishers and obtained Austrian citizenship.[26]

In 1929, the Bortkiewiczes moved back to Berlin, a city they loved, but experienced severe financial issues, exacerbated by the economic crises and the rise of the Nazi regime. Bortkiewicz had to ask van Dalen for financial help many times.[27] These awkward situations can be observed through his letters to van Dalen:

> Dear friend, Forgive me my incessant complaining and asking. You are an angel, and you understand how difficult, how unpleasant, it feels to me to keep begging. If I did not have my poor wife, I would have put an end to my life long ago…Although I have a good reputation in Germany, I still am a 'foreigner,' and now one is looked upon very unfavorably if one is not a genuine German, and there are even fewer opportunities for any position, although I am not a Jew and have lived for so long in German territories.[28]

Due to his Russian origin, Bortkiewicz suffered persecution from the Nazis, and they deleted his name from music programs in 1933. For this reason, he returned to Vienna. To earn his keep, Bortkiewicz translated the letters between Pyotr Ilych Tchaikovsky and Nadezhda von

[24]Bortkiewicz, *Recollections*, 26.

[25] Ibid., 27–32.

[26] Kalkman, "Sergei Bortkiewicz."

[27] Ibid.

[28] Bortkiewicz, *Recollections*, 42.

Meck (1831–1894) from Russian into German.

When World War II started, there were few opportunities for Bortkiewicz to give concerts. The worse thing was that he lost his income from the sale of his music because the bombing of Leipzig destroyed his published compositions. After the war, Bortkiewicz was appointed head of an education program at the City Conservatory in Vienna in 1945.[29] Dr. Hans Ankwicz-Kleehoven (1883–1962) founded the Bortkiewicz Gemeinde (Bortkiewicz Society) in 1947 and it lasted until it was dissolved in 1973.[30] When Bortkiewicz retired in 1947, the city of Vienna granted him an honorary pension and the following year he received a professorship from the Austrian federal government.[31] In 1952, he died of thrombosis.[32]

1.3 An Introduction to Schenkerian Analysis

The Schenkerian approach reveals much about the large-scale structure of compositions, including the layout of keys, harmonies, mottos, musical direction, and form. Armed with an analytical understanding of the coherence of the background and deeper structural levels, performers and scholars are able to discover and explore various possible interpretations in a rational way. As Eric Wen explains, "an analyst points out the salient feature of a work. In a sense, he serves as a commentator, who aims to clarify the ideas inherent in a score."[33]

Through a comprehensive study of the foreground, middleground, and background of a piece, the performer's interpretations become strongly grounded in the music, and thereby

[29] Kalkman, "Sergei Bortkiewicz."

[30] Ibid.

[31] Ibid.

[32] Ibid.

[33] Eric Wen, *Structurally Sound: Seven Musical Masterworks Deconstructed* (New York: Dover, 2017), 1.

more convincing. Regarding the Schenkerian approach, Felix Salzer provides an explicit description:

> The graphs make use of noteheads and many symbols of notation as they appear in the score itself. They show a type of notation in which different note values, slurs, beams, connecting lines, brackets and various additional symbols and terms are used to indicate tone and chord function, goals as well as details of motion, relation of certain tones to others, and, above all, the direction and interaction of the various voices, in short: the voice leading and tonal coherence of an entire work.[34]

The Schenkerian approach explains how the composer elaborates a basic deep structure, and the contours and linear directions of the surface are controlled by it. The point is not to demonstrate the similar backgrounds (the so-called fundamental structure) of every piece; but rather, to construct an analytical model that accounts for the unique and special features of a given piece. In other words, the model must be made to fit the piece, not the other way round. These concepts are closely related to an epigraph by Schenker: "*Semper idem, sed non eodem modo*" (always the same but never in the same way).[35]

[34] Heinrich Schenker, *Five Graphic Music Analyses (Fünf Urlinie-Tafeln)* (New York: David Mannes Music School, 1933; reprint with new introduction and glossary by Felix Salzer, New York: Dover, 1969*),* 16.

[35] Matthew Brown, *Explaining Tonality: Schenkerian Theory and Beyond* (Woodbridge, Suffolk: Boydell & Brewer, 2005), 67.

CHAPTER 2

THE USE OF THE SUBDOMINANT RECAPITULATION BY CLASSICAL COMPOSERS

2.1 The Development of the Non-tonic Recapitulation in the Early Classical Period

Sonata form developed out of binary form. Themes, tonalities, the particular sets of notes, and chords are elements of constructing the binary structure. The repeating initial part directly goes to the second part by ending at a new key. The second part, which also repeats, starts at the new key, then returns to the original key.[36]

In sonata form, the exposition corresponds to the initial part of binary form, and the development and the recapitulation constitute the second part. As in binary form, the key of the exposition ends up at a new key, passing through different keys in the development, and then comes back to the tonic key in the recapitulation.[37]

When the Classical sonata form with the double return became standardized in the 1770s, the functions of the development and recapitulation were distinguished by harmonic structures and thematic layouts. People treated the beginning of the recapitulation as a highly dramatic point, and the tonic return as an essential element of this form. The avoidance of the original key before the recapitulation makes the double return more effective.[38]

It is noteworthy that sometimes people call the non-tonic return a “false reprise” or “false recapitulation.” The term “false reprise” means that composers mislead listeners by introducing the opening theme in the home key while the music is still in the development.[39]

One example of the non-tonic return can be observed in Giovanni Marco Rutini’s

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[36] Bernard Jacobson, *Encyclopædia Britannica*, s.v. ”Sonata Form,” dated October 28, 2016; accessed November 8, 2020; https://www.britannica.com/art/sonata-form.

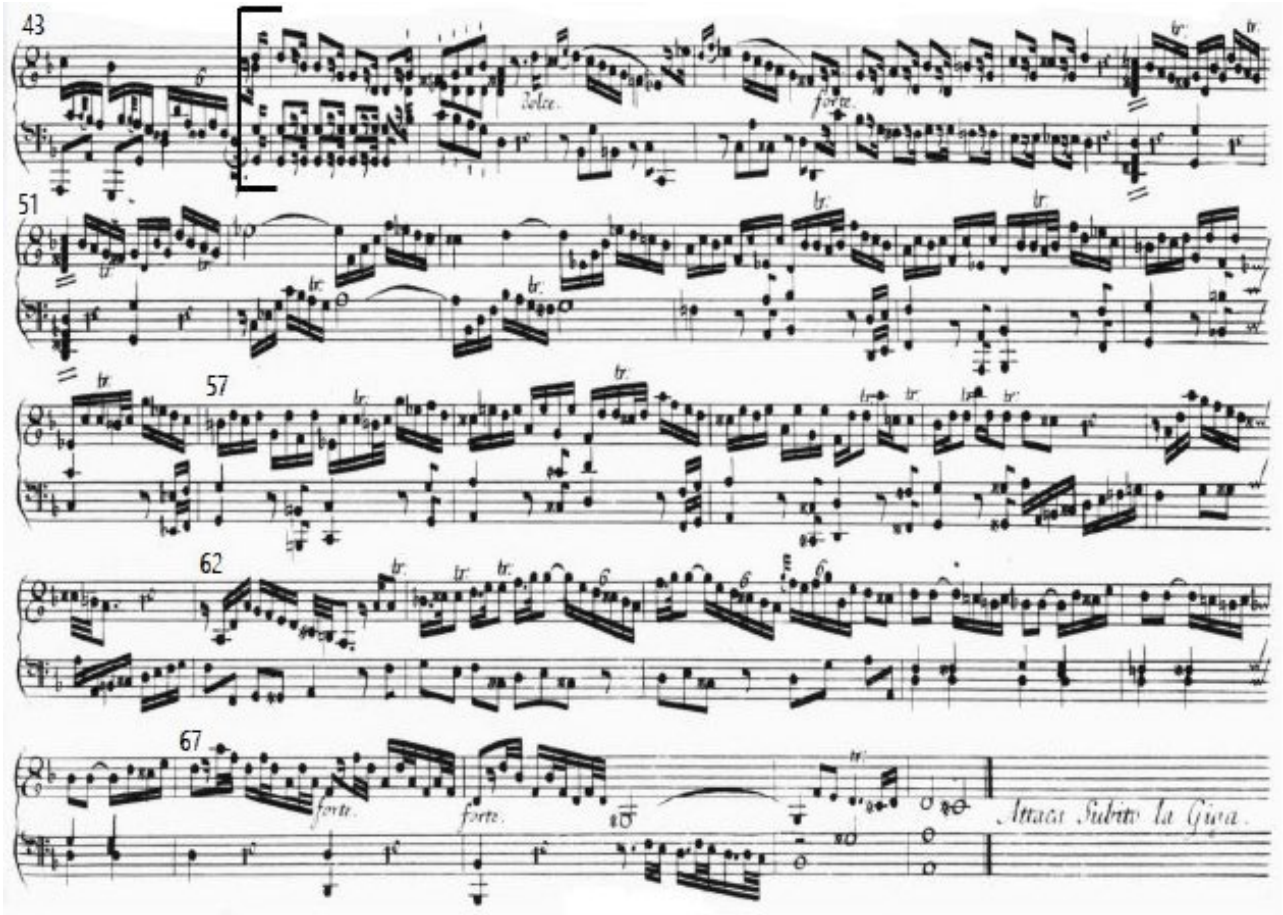
[37] Ibid.

[38] Hur, "Irregular Recapitulation,” 13–14.

[39] Peter A. Hoyt, “The ’False Recapitulation’ and the Conventions of Sonata Form” (Ph.D. diss., University of Pennsylvania, 1999), Abstract.

Keyboard Sonata in D minor, Op. 3, No. 4, first movement, published in 1757. Example 2.1 shows that the recapitulation is in G minor, the subdominant, starting in m. 44. However, Mi-Sook Han Hur considers this use to be incidental, whereas after 1780 composers such as Mozart and Beethoven used the non-tonic recapitulation deliberately.[40] Furthermore, the subdominant recapitulation lacks a tonic return. The dominant chord of the tonic key as an upbeat shows up at the end, then directly moves to the next movement. Since it has no tonic return, this example does differ from the use of the subdominant recapitulation by Classical and Romantic composers who might have influenced Bortkiewicz.

Musical Example 2.1: Giovanni Marco Rutini, Keyboard Sonata in D minor, Op. 3, No. 4, I, mm. 43–70



[40] Hur, "Irregular Recapitulation," 15–16.

2.2 The Use of the Non-tonic Recapitulation in the Classical Period

The sonata form with double return gradually developed to maturity during the Classical period. However, some composers, notably Mozart and Beethoven, intentionally broke with this convention. Even though Mozart and Beethoven use the non-tonic recapitulation, this bold compositional strategy still rarely appeared in their works.[41] The use of the subdominant recapitulation by Mozart and Beethoven is where the root of the subdominant functions as a lower neighbor tone to the prolonged dominant or has a passing-tone function.

2.3 The Example of Mozart's Piano Sonata in C major, K. 545, First Movement

Mozart composed eighteen piano sonatas between 1773–74 and 1789. According to the first publication dates, these works are usually divided into six groups. The Piano Sonata in C major, K. 545 is cataloged in the last group, which also includes Sonatas K. 533/494, 545, 570, and 576. K. 545, is known as *Sonate facile* and "a little piano sonata for beginners."[42]

Scholars have drawn attention to the unusual structure of the first movement of this sonata. As mentioned above, composers have had a tendency to employ the double return in the recapitulation; thus, the subdominant recapitulation of this sonata is worthy of investigation. Both Edward Laufer and Eric Wen have analyzed this sonata. Both interpretations are persuasive and useful for performers, so I summarize them in the next two paragraphs.

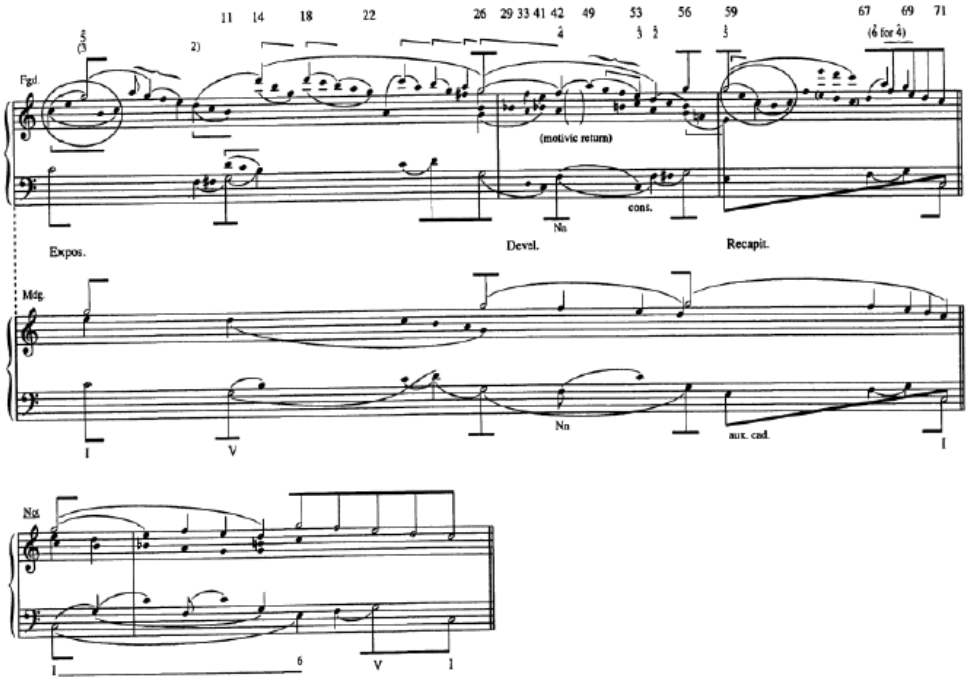
Example 2.2 displays three levels of analysis by Laufer—the foreground, middleground, and background—of Mozart's Piano Sonata, K. 545, first movement. The first

[41] Hur, "Irregular Recapitulation," 16.

[42] Paul and Eva Badura-Skoda, "Mozart: 18 Piano Sonatas. 18 Editions"; https://www.henle.de/en/music-column/mozart-piano-sonatas/; accessed November 18, 2020.

system (the foreground) has a descending-fifth arpeggio (G–E–C) with a neighbor-tone motive (C–B–C) in m. 59 that echoes the ascending–fifth arpeggio (C–E–G) with a neighbor-tone motive at the beginning of the movement. The two motives consist of a stable, musical arch and lead the music to the end. The bass progression has a I–V–I motion without IV, because Laufer considers that the non-structural subdominant plays the role of neighbor-tone in the prolonged dominant. By extension of the concept, the background reveals an enormous I–V progression before m. 69, completed in the last four measures.[43]

Musical Example 2.2: Mozart Piano Sonata, K. 545, I, Schenkerian analysis by Edward Laufer

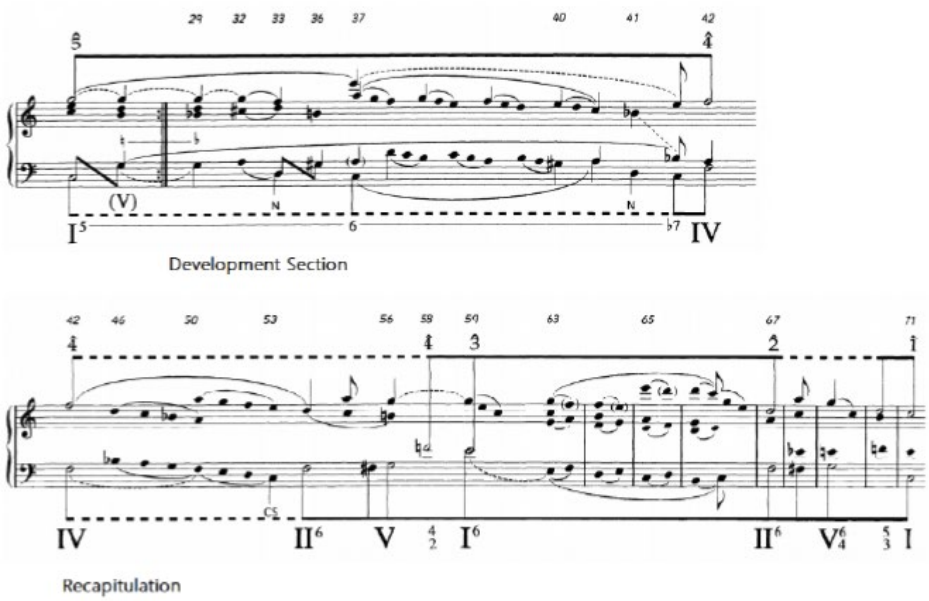


Eric Wen proposes a different interpretation of this movement. First, he points that the initial V is a non-structural dominant, explaining that a non-structural dominant of this type often appears at the end of the initial part of dance movements in binary form. Although viewing this V as a non-structural dominant area is an uncommon situation, he suggests two reasons for this view: 1) The second theme in the dominant is not properly tonicized in the

[43] "Erratum: Revised Sketch of Mozart, K. 545/I and Commentary," *Journal of Music Theory* 46, no. 1/2 (2002): 371; http://www.jstor.org/stable/4147685.

exposition. 2) This movement does not follow the traditional procedure of sonata form because of the subdominant recapitulation. Considering this movement as a whole, and avoiding emphasizing the initial dominant in the exposition, there is an unusual return in the recapitulation. Before the double bar, there is a progression of C to G, and the dominant ends the exposition and stabilizes its independent harmony. Moreover, the subdominant key in the recapitulation could be read as the supporting structural $\hat{4}$ in the top voice, and the second theme in the recapitulation is resolved at m. 59. The structural bass motion, I–IV–V–I6, completes the first part of this progression. Following the tonic, there is a prolongation of the tonic in mm. 63–66. Then, as Wen writes, "The sudden shift up an octave in m. 65 is not strict but serves a subtle purpose. It compensates for the articulation of $\hat{3}$ in the bass in m. 59, not structurally but registrally, by allowing for the appearance of e3, the highest possible statement of $\hat{3}$ on Mozart's keyboard." Finally, the structural top voice $\hat{2}$ steps down to $\hat{1}$ in mm. 67–71.[44] See Ex. 2.3.

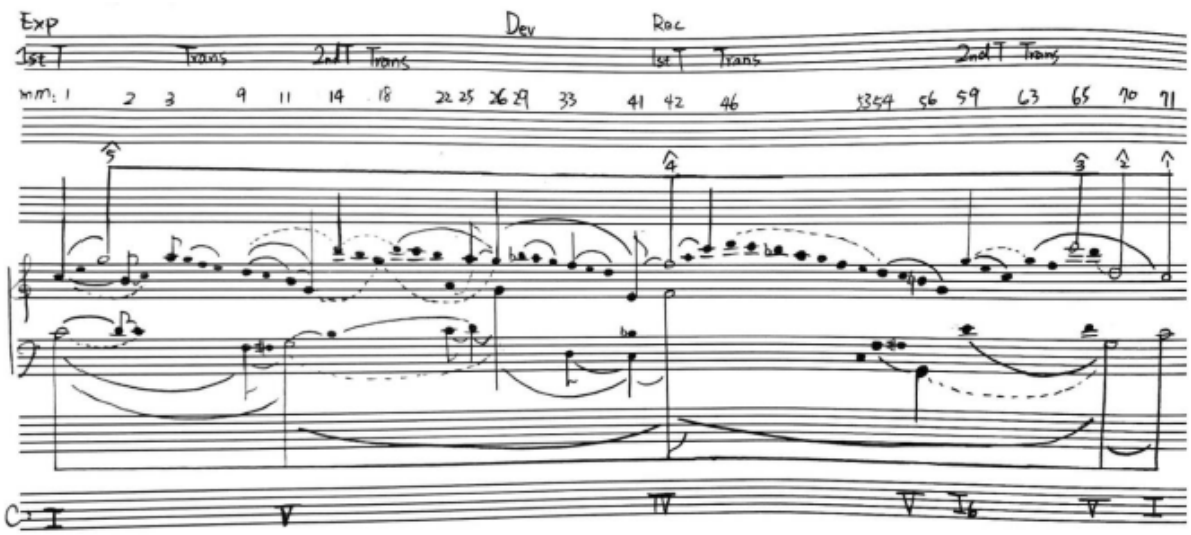
Musical Example 2.3: Mozart, Piano Sonata, K. 545, I, Schenckerian analysis by Eric Wen



[44] Eric Wen, "A Response to Gordon Sly and Edward Laufer: An Alternative Interpretation of the First Movement of Mozart's K. 545," *Journal of Music Theory* 46, no. 1/2 (2002): 364–68; http://www.jstor.org/stable/4147684.

My own interpretation is close to Laufer's idea. I do agree with the point by Wen that reading the F-major recapitulation as an incidental role that appears in the prolongation of the dominant key from mm. 17–70 seems to depart from our aural experience of this movement.[45] However, I believe that treating the initial dominant at m. 11 as a non-structural dominant is not appropriate either. Even though the dominant area lacks a stable root of V in the bass from the second theme in the exposition (m. 13) to the first theme in the recapitulation, except for the cadence in mm. 25–28, listeners will hear the strong cadence at m. 12. In my opinion, the F-major recapitulation serves a neighbor-tone role in this movement for weakening the boundary between the development and the recapitulation and as an extension of the unstable dominant (see Ex. 2.4). The purpose might be to make the recapitulation part of the continuous tonal procedure without interruption, as I mentioned in section 1.1.

Musical Example 2.4: Mozart, Piano Sonata, K. 545, I, Schenkerian analysis



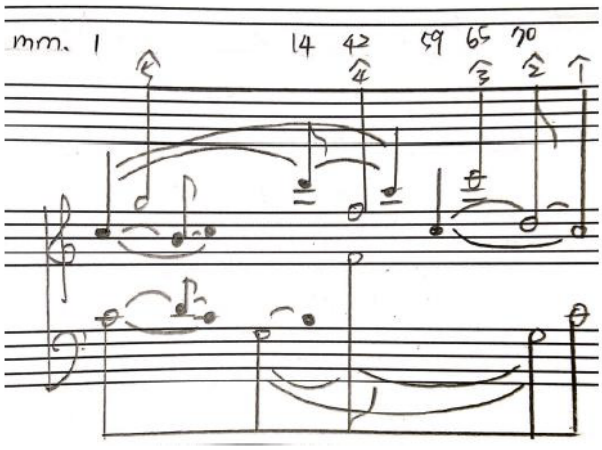
Also significantly, the dominant at m. 56 is an advance announcement of the real dominant return supporting the structural descending $\hat{2}$ in the top voice at m. 70. It seems

[45] Wen, "A Response," 366.

that the second theme in the recapitulation is a buffer zone for avoiding the music directly running to the end. Furthermore, besides the fifth-motives—including a descending-fifth progression in the top voice, the opening ascending fifth-arpeggio motive, and the relationship between the keys of the first theme and the second theme in the exposition and the recapitulation—the neighbor-tone motive is also important in this movement. Mozart uses the neighbor-tone motive to integrate each section and make them become a whole. For instance, the first neighbor-tone motive (C–B–C) in the right hand and its reflection (C–D–C) in the bass line start this movement. This short motive could be discovered in a large layer.

Example 2.5 illustrates how the neighbor-tone motives are used in this large layer. In addition to appearing at the beginning, the neighbor-tone motive strides across multiple sections, including two C–D–C motives showing in the top line in the first theme of the exposition, continuing with the first theme in the recapitulation (in mm. 1, 14, and 42), the second theme in the recapitulation to the end (in mm. 59, 70, and 71), and G–F–G in the bass from the end of the first theme in the exposition to the end of the second theme in the recapitulation (in mm. 14, 42, and 70), supporting the upper neighbor-tone motives.

Musical Example 2.5: Mozart, Piano Sonata, K. 545, I, condensed Schenkerian analysis



Based on this analysis, I suggest that performers treat this movement as a whole and avoid taking very much time between each section, so as to present the effect of the entire

movement without interruption.

2.4 The Example of Beethoven's *Coriolan* Overture, Op. 62

The five-act tragedy *Coriolan* by Heinrich von Collin (1771–1811), based on Shakespeare's *Coriolanus*, inspired Beethoven to compose his *Coriolan* Overture in C minor, Op. 62, in 1807.[46] The contrasting characters of the Roman general Coriolanus, on the one hand, and his mother and wife on the other hand are depicted through Beethoven's music: The stormy first theme of this overture presents Coriolanus's rebellious nature, whereas the second theme describes the gentleness and humane quality of the two women.[47]

The form of overtures in the late eighteenth century never became as standardized as sonata form, having various manifestations in the work of different composers. In general, the form is usually depicted as "sonata form without development" or the "slow-movement form."[48] The structure of the *Coriolan* overture has a clear exposition, a development, and a recapitulation. Due to the similar structure of sonata form and this overture, the structure of the *Coriolan* overture makes a contribution to my argument in the present study.

Lauri Suurpää and Timothy Jackson have published interpretations of the *Coriolan* Overture. Both of them consider that this overture should be seen as a whole without any interruption. Example 2.6 displays Suurpää's overview.[49] First, the author points out that this would be unusual for a sonata form in the Classical era because there is no interruption in the

[46] Clifford D. Alper, "Beethoven's *Coriolan* Overture, Opus 62: Three Points of View," *Beethoven Newsletter* 6, no. 2 (summer 1991); https://search.proquest.com/openview/76c47c92a74cea5cad9fab8199f82944/1?pq-origsite=gscholar&cbl=27421

[47] Herbert Glass, "*Coriolan* Overture (Ludwig van Beethoven)," program note, Los Angeles Philharmonic, accessed November 13, 2020, https://www.laphil.com/musicdb/pieces/271/coriolan-overture

[48] Hur, "Irregular Recapitulation," 18.

[49] Lauri Suurpää, *Music and Drama in Six Beethoven Overtures: Interaction Between Programmatic Tensions and Tonal Structure* (HelsinkI: Sibelius Academy, 1997), 111.

voice-leading structure. Furthermore, he considers that there is a long prolongation of the dominant, which supports the top voice $\hat{2}$ starting in m. 102 and ends at the final tonic chord arriving in m. 230 (see first system of Ex. 2.6).[50] Interestingly, $\hat{1}$ is hidden in the inner voice; in other words, the real arrival of $\hat{1}$ is at m. 296 (see second system of Ex. 2.6).[51] Also significantly, audiences hear Eb major in the second group in the exposition, although Suurpää points out that the Eb is not definite by reason of the theme being sequentially repeated. The Eb key does not belong to the structural level; rather, it serves as the principal key of the bass part in the background level. Thus, it should be viewed as the upper third of the tonic, helping this overture to unfold.[52]

Example 2.6 reveals another important point: the voice-leading structure and the tonal design focus on different harmony progression. Suurpää mentions that the structural progression is I–II–V instead of I–III-V; however, the $\hat{2}$ in the top voice appears at m. 102 supported by the dominant. Thus, he proposes two unusual features: the exposition has three key areas; and the voice-leading structure and the tonal design emphasize different harmonic progressions.[53] Suurpää treats the subdominant as a non-structural key in the recapitulation; and the C major at m. 178, the second group in the recapitulation, is a harmony building on the upper fifth of F major in the bass. In his view, the structural tonic arrives at m. 230.[54] Suurpää believes that the subdominant key has been tonicized in the development, and a theme is omitted in the recapitulation. These factors mean that the recapitulation cannot be

[50] In Suurpää's reading (*Six Beethoven Overtures*, 112), the development starts at m. 118 and the recapitulation at m. 152.

[51] Suurpää, *Six Beethoven Overtures,* 110–11.

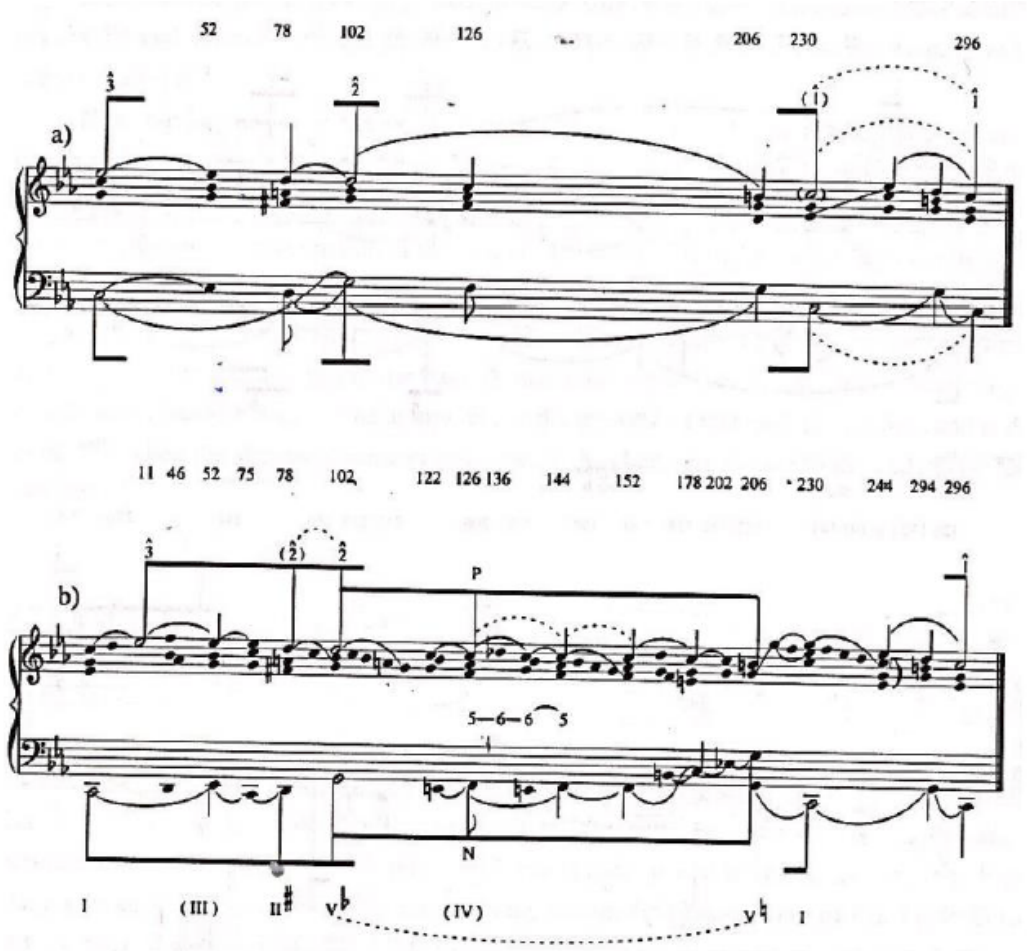
[52] Ibid., 111–12.

[53] Suurpää, *Six Beethoven Overtures,* 112–13.

[54] Ibid., 113.

as impressive as usual. Thus, the unique recapitulation could be understood as taking place within a large musical arch.[55]

Musical Example 2.6: Beethoven, *Coriolan* Overture, overview by Lauri Suurpää



Ultimately, Suurpää's interpretation of the *Coriolan* Overture is that Beethoven does not give a clear cadence for theme A (first group without the introduction, mm. 15–51) and theme B (second group, mm. 52–102), creating an unfulfilled quality. This quality seems to avoid a definite tonic chord appearing at the end and make the piece one large dramatic arch. Moreover, the postponement of $\hat{1}$ (in this reading) in mm. 230–96 mirrors how Coriolanus puts off the decision to attack Rome and delays his death. What do the first and the second group represent? In general, people tend to believe that the first group represents Coriolanus

[55] Suurpää, *Six Beethoven Overtures,* 119–20.

and the second group his wife and mother. Nevertheless, in Suurpää's view, theme A represents the death of Coriolanus throughout this overture and theme B can be read as the hope for a peaceful solution in Coriolanus's mind. Following his interpretation, there is no major key built on a structural harmony (Eb is the upper third of C, and C major is the upper fifth of F). The unstable structure and the avoidance of tonal closure mean that theme B cannot have a stable close, as there is no peaceful ending in this play. Moreover, Beethoven created a repeated minor key to follow every major key, which symbolizes that any hope will not last for long. Finally, the last section from m. 276 to the end depicts the death of Coriolanus.[56] For Collin, the playwright, death was the only choice for his hero, Coriolanus.[57]

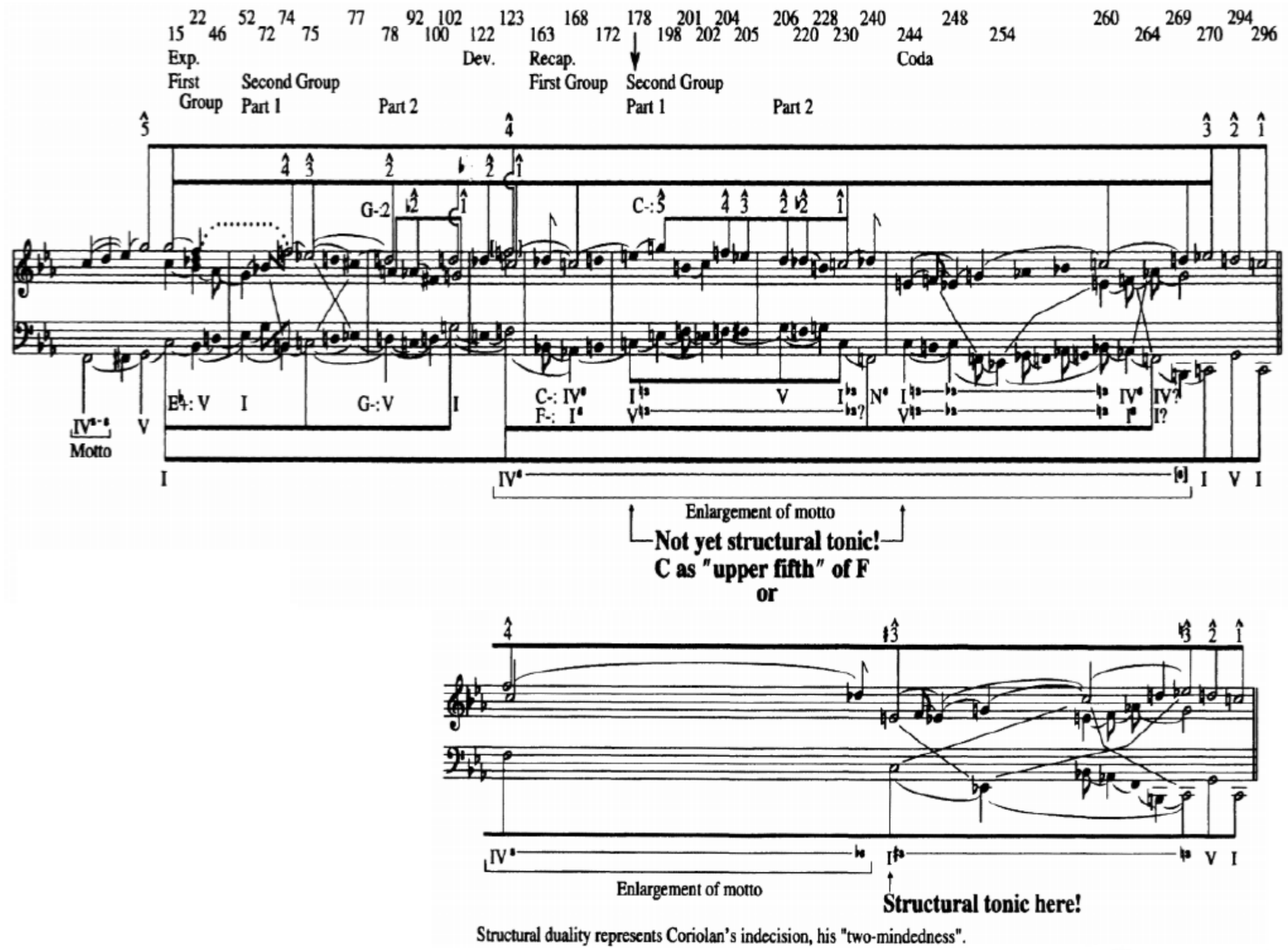
Jackson has his own perspective on the overture. Example 2.7 shows his understanding that the root of the tonic, C, is not a structural tonic in the introduction, and he considers F5–6 motion that opens the overture is more principal in the introduction. Similar to the interpretation by Suurpää, Jackson reads the occurrences of C major (in mm. 178 and 244) as the dominant of the subdominant key being ensnared by this large prolonged subdominant key in mm. 123–264; he also considers that the Eb in the second group at m. 52 does not belong to the structural progression (Ex. 2.7, top). More significantly, he believes that the structural duality (F and C) symbolizes "two-mindedness": Coriolanus's prolonged indecision about whether to attack Rome or retreat.[58] Similar to Wen's analysis of the Mozart K.545, Jackson takes the dominant at the end of the exposition as back- relating; thus, the IV has a much greater structural emphasis than in Suurpaa's.

[56] Suurpää, *Six Beethoven Overtures,* 125–29.

[57] Ibid., 128.

[58] Ibid., 93.

Musical Example 2.7: Beethoven, *Coriolan* Overture, overview by Timothy Jackson[59]



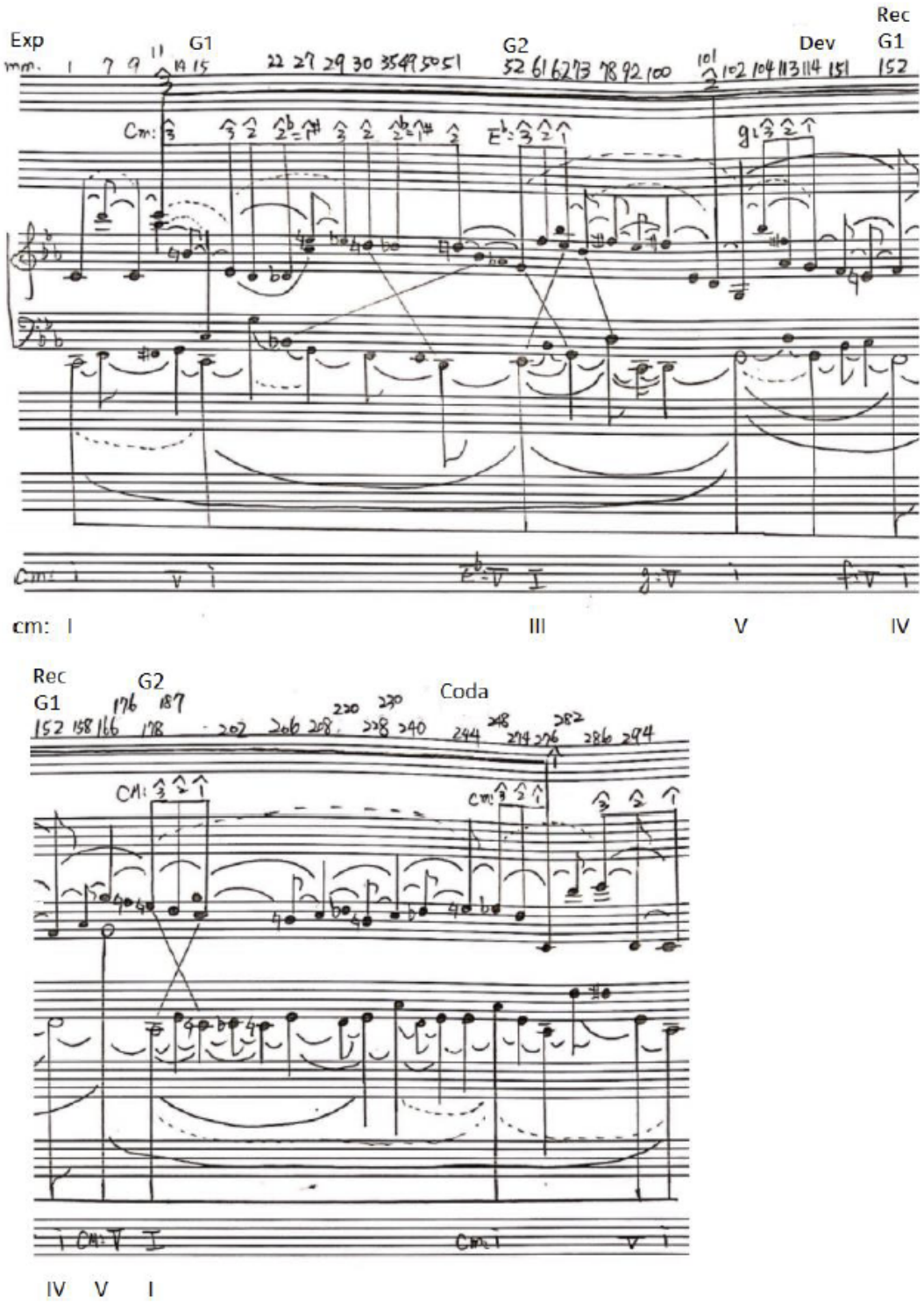
[59] Example 2.7 is reproduced from Timothy L. Jackson, "The Tragic Reversed Recapitulation in the German Classical Tradition," *Journal of Music Theory* 40, no. 1 (1996): 90–91. https://www.jstor.org/stable/pdf/84392366

It is not simply a lower neighbor to the prolonged V, but a plagal Stufe (scale step) in the background structure: I–IV–I or perhaps I–IV–V6–I, with the tonic only regained in m. 270.[60] The tonic allows for multiple interpretations of the structure to represent Coriolanus's predicament, and his indecision as to how to resolve an impossible situation.

A great composition always inspires and stimulates researchers to generate various interpretations. Example 2.8 represents my own analysis of Beethoven's *Coriolan* Overture. Unlike the previous two analyses, I read Eb at m. 52 as the structural note, even though it may seem less important than other structural notes. Undeniably, this major key is taken over immediately by repeated minor keys, whereas it is still resolved to major within nine measures. If we consider that the second theme represents the persuasion of Coriolanus's mother and wife, quickly switching to minor mode is reasonable because facing hard negotiations affects people's emotions. The alternative interpretation by Suurpää explains the frequent key changes as due to the vain hope. No matter which interpretation people prefer, the emotion of hoping for the success of the persuasion or the illusory hope both exist, although each only lasts a short time. Moreover, when Eb is read as important enough to be the part of the structural level, it enhances the intensity of the following dominant, which represents Coriolanus's conflicting battle against himself, attack or retreat, through the emotional process of his anger at first, the soft advice from his mother and wife, or hope. Third, Eb is also the "heroic" key in some masterworks, including *The Magic Flute* by Mozart, "Emperor" Concerto, and "Eroica" Symphony by Beethoven. Perhaps Beethoven employs Eb to emphasize the noble character of Coriolanus's mother and wife.

[60] "Schenker uses the term, scale step, to refer to the principal steps of the bass part of the fundamental structure." Thomas Pankhurst, "Glossary," Tom Pankhurst's Guide to Schenkerian Analysis, https://www.schenkerguide.com/glossarytest.php (accessed February 04, 2021).

Musical Example 2.8: Beethoven, *Coriolan* Overture, Schenkerian analysis



The unusual subdominant recapitulation in this overture plays a neighbor-tone role between two dominants and serves as the part of the uninterrupted tonal motion. In the recapitulation, Beethoven omits some chordal motives from the introduction and a passage

of the first group in the exposition. The factors above demonstrate that Beethoven not only naturally connects the development and the first group of the recapitulation by the subdominant key, but also alludes to Coriolanus having already made a decision based on the persuasion from his mother and wife or hope. My view explains why C major of the second group should be the upper fifth on the subdominant first group in the recapitulation, because the decision is related to the soft side, his family or hope.

I think that the last structural tonic arrives earlier than in previous two interpretations. Although Coriolanus has already made a peaceful decision based on the wish of his mother and wife, shown by the C major at m. 178 (see Ex. 2.8), he has to consider how to keep his dignity after being a betrayer. These complex emotions and thoughts are represented by changes of key. However, he has made a decision, which determines that Rome will be saved. The second C key (C minor) at m. 248 is the real tonic return and stops the keys switching between C major and C minor. Perhaps it presents that Coriolanus has decided to commit suicide. At the end, the soft dynamics and whole notes depict his death, and the last three quarter notes marked *pp* are his heart beats about to stop.

Example 2.8 reveals Coriolanus's indecision through $\hat{2}^{\flat}$, which may be read as enharmonic $\hat{1}^{\#}$. If the third progression of voice-leading in the smaller level moves to $\hat{1}$, it perhaps means that a definite decision has been made. Nevertheless, the progression stays at $\hat{2}^{\flat}$ instead of $\hat{1}$. It provides two possibilities, which are also the important issues in this play: attack or retreat.

Suurpää points out that a programmatic interpretation of the *Coriolan* Overture is difficult to consider, because it was intended to go with a play, not an opera. However, he expresses that: "I believe, all the same, that there are programmatic aspects to the *Coriolan* Overture, and that they can be found both on the musical surface and at deeper structural

levels…”[61] I believe that this idea is important for performers as well. When performers learn works that have no lyrics, there must be significant details that can be found at deeper structural levels as well as on the surface of the music. Discovering these details helps performers create more convincing interpretations.

[61] Suurpää, *Six Beethoven Overtures*, 126.

CHAPTER 3

THE USE OF THE SUBDOMINANT IN THE RECAPITULATION BY A ROMANTIC COMPOSER, SCHUBERT: FIRST MOVEMENT OF SCHUBERT'S QUINTET IN A MAJOR, D. 667, "TROUT"

Certain features of Schubert's works, including three-key expositions, non-tonic recapitulations, and remote-key relationships, fascinate scholars.[62] Hur divided Schubert's works into four periods, each with uniform recapitulatory procedures. The traits of the first period, 1810–15, are a free and uneven approach to sonata form and frequent use of the dominant recapitulation. The second period, 1816–19, is characterized by subdominant recapitulations, usually in the major mode in Schubert's sonatas, and three-key expositions.[63] The subdominant recapitulation is no longer used in his third period, 1820–23.[64] In his final period, 1824–28, he composed his most mature compositions, including the song cycle *Winterreise*, D. 911, and three piano sonatas, D. 958, 959, and 960.[65]

Schubert's Quintet in A major, D. 667, was written for his patron, Sylvester Paumgartner, who asked Schubert to employ a special instrumentation—piano, violin, viola, cello, and double bass—which Johann Nepomuk Hummel had employed in his Op. 87 Quintet. Schubert inserts a set of variations into the conventional Classical sonata sequence, which usually consists of four movements, making it a five-movement work. This quintet is known as the "Trout" because the theme of the variations is taken from his art song "Die Forelle" (The Trout)—Paumgartner's favorite song.[66]

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[62] Hur, "Irregular Recapitulation," 3.

[63] Ibid., 105.

[64] Ibid., 11–12.

[65] Ibid., 185.

[66] Betsy Schwarm, "Trout Quintet," *Encyclopædia Britannica*, https://www.britannica.com/topic/Trout-Quintet (accessed January 11, 2021).

The three-key exposition is a remarkable feature in Schubert's music, employed especially in his second period. Rey Longyear and Kate Covington explain the term "three-key exposition" of sonata form as the second theme-group beginning in a key different from both the opening and the close of the exposition.[67] Another trait in this period is the non-tonic recapitulation—in particular, the subdominant recapitulation. Schubert's experiments with the effect of using such a recapitulation in his second period have caught the attention of researchers interested in whether this unusual design might affect the interpretation of the deep-level structure from a Schenkerian perspective.[68] As we have seen with the examples in chapter 2, scholars can react to the same work with varied interpretations, supported by explanations and reasons. In Schubert's "Trout" Quintet, David Beach states that the tonic is the goal instead of the departure in the recapitulation, and the structural motion of common patterns is I–V answered by IV–I.[69] In addition to the subdominant recapitulation, Hur points out another notable feature in this period: the expansion of the second group through the three-key exposition, or a "harmonic digression."[70]

Schubert perhaps wanted to create a "continuous" tonal progression without interruption of the fundamental line and with one bass arpeggiation (usually there will be an interruption and two bass arpeggiated progressions in the fundamental structure) or he wanted to create a fresh way of proceeding in the recapitulation.[71] Of course, we cannot

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[67] Rey M. Longyear and Kate R. Covington, "Sources of the Three-Key Exposition," *Journal of Musicology* 6, no. 4 (1988): 448–70; doi:10.2307/763742.

[68] David Beach, "Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure," *Music Theory Spectrum* 15, no. 1 (1993): 1.

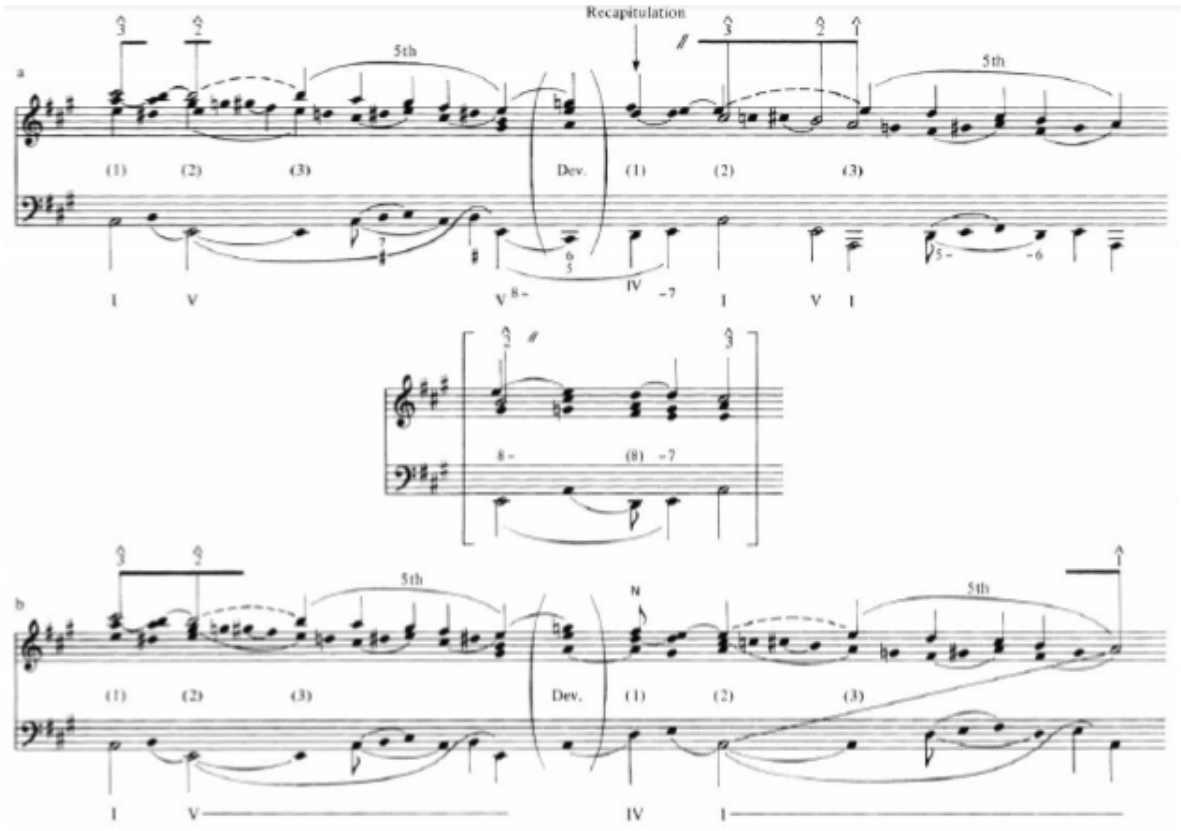
[69] Ibid., 9.

[70] Hur, "Irregular Recapitulation," 3. Harmonic digression: In my understanding, this term means that the second key of a progression in the structural level moves to the digressed key. For example, if the motion is from the tonic to the dominant of Bb major, it should be Bb–D–F (I–III–V); however, the middle key has changed to IIIb, so that motion becomes Bb–Db–F.

[71] Hur, "Irregular Recapitulation," 112–13.

know what Schubert was thinking when he composed these works, but analysis can reveal what he might have had in mind.

Musical Example 3.1: Schubert, "Trout" Quintet, I, overview of main structure by David Beach

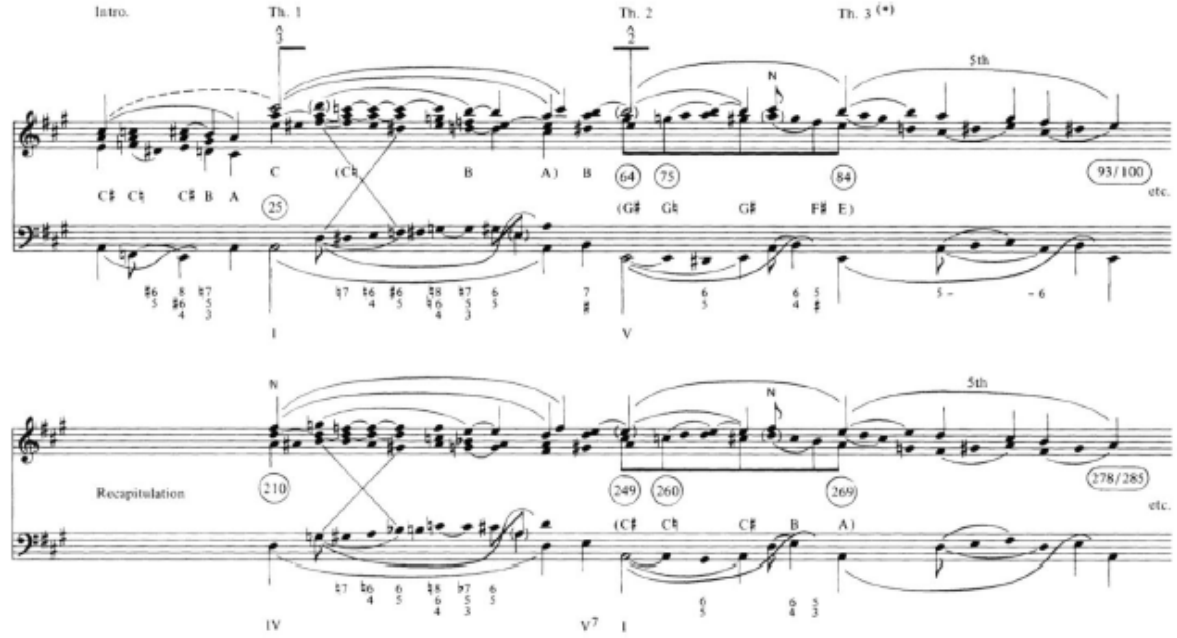


Beach provides two possible interpretations of the quintet (see Ex. 3.1).[72] Example 3.1 (top) reveals that the first possibility is to read the subdominant in the recapitulation as the same idea restated by the prolonged dominant from the second theme in the exposition in m. 64. The subdominant offers a temporary consonance supporting the seventh of the "covering" 8–7 and reintroduces C# (the second line is the simplified graph of the first interpretation). The role of the subdominant recapitulation is therefore a lower neighbor-tone between dominants. The second possible interpretation (see Ex. 3.1, bottom) which extends the structural descending-third progression in the top voice without the interruption

[72] Example 3.1 is reproduced from Beach, "Schubert's Experiments," 12.

marked "//" in the voice-leading line in top example.[73] This analysis reveals another structural motion: I–V–IV–I, and the subdominant recapitulation functions as a passing-tone for leading the dominant to the tonic. The first analysis creates more room and prepares well for the tonic return with the interruption; the second analysis shows the music moving directly to the tonic.

Musical Example 3.2: Schubert, "Trout" Quintet, I, overview of primary motivic material by David Beach



Besides creating different interpretations, Beach expresses the voice-leading connection, including the melodic motive and descending-fifth progression as well (see Ex. 3.2).[74] This graph clearly shows the initial and repeating melodic motive C#–C–C#–B–A, which consists of two smaller motives, C#–C and C#–B–A. This melodic motive frequently reappears with different instruments, creating a dialogue among them. Moreover, this melodic motive is based on E major, the dominant of A major in the second theme; when the music returns

[73] Beach, "Schubert's Experiments," 11–12.

[74] Ibid., 10.

to the tonic, this motive comes back to that key, too. The visible descending-fifth progression appears in the third theme; however, it happens several times in the inner voice before the closure of the exposition.[75] Through Beach's analysis, we can perceive how Schubert projects the same motive in a masterly way in different sections with various appearances without losing coherence.

Hur provides much information about irregular recapitulation in Schubert's compositions, including analyses. He discovered a pattern of how the composer used the subdominant recapitulation, a large-scale harmonic progression from I–V (exposition)–III (development) to IV–V–I (recapitulation), in his second period. The dominant in the exposition plays an unusual role as a back-relating dominant. Thus, in Hur's reading, the bass progression is I–III–IV–V–I, and the subdominant recapitulation serves as a passing tone to the dominant. Furthermore, the tonal motion is directed towards IV instead of V, and IIIb (or III) connects back to the tonic at the beginning.[76]

With regard to the structure of Schubert's "Trout" Quintet, Hur's interpretation is quite different from Beach's. He reads the subdominant recapitulation (in m. 210) as the peak of this work,

> …a resolution after an enormous dominant preparation starting in m. 64 (the second theme) or m. 84 (the third theme). The first theme of this crucial subdominant recapitulation resembles the second first-theme in the exposition in m. 25 for two reasons: (1) The first theme in the recapitulation is from the second first-theme in the exposition [see Exx. 3.3 and 3.4]. (2) The appearance of the recapitulation is prepared by the previous section, just as the second first-theme is prepared by the introduction.[77]

Janet Levy believes that the "proper" opening theme appears in m. 25 instead of the

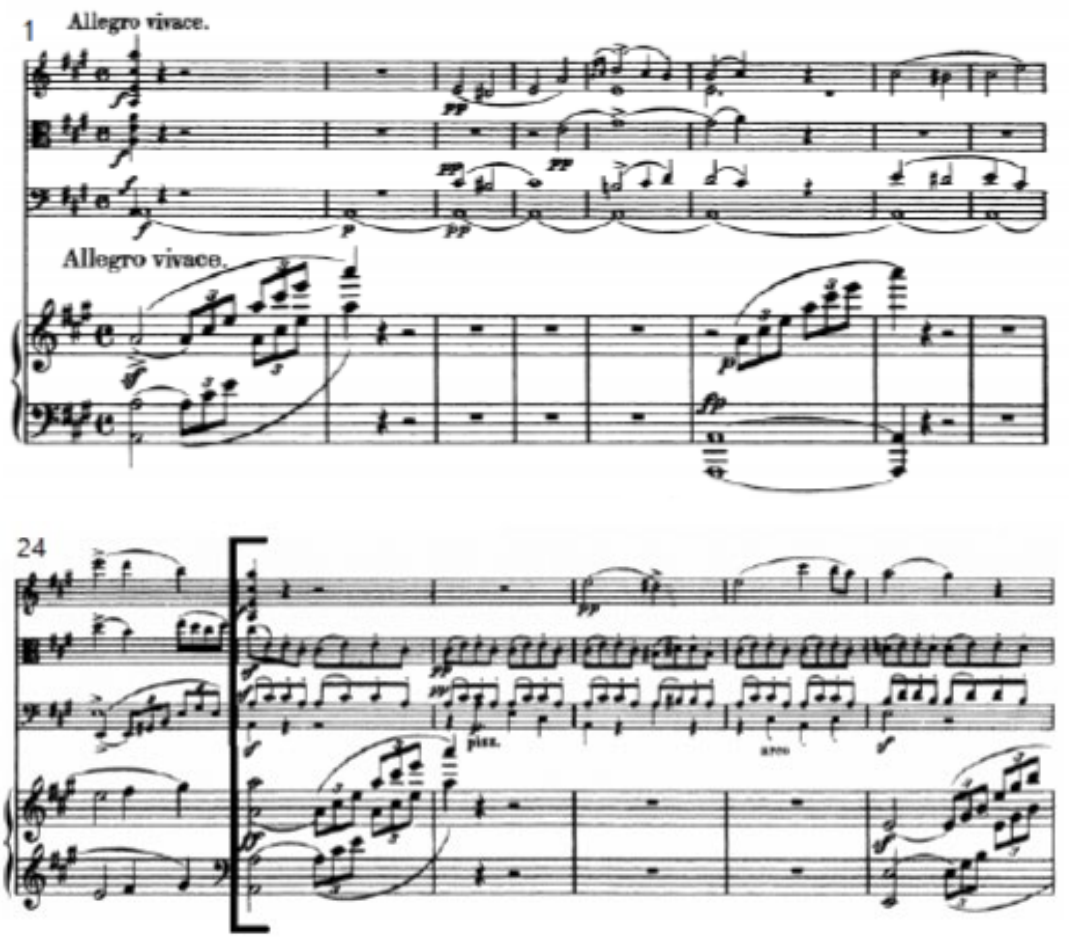
[75] Beach, "Schubert's Experiments," 9–11.

[76] Hur, "Irregular Recapitulation," 109–12.

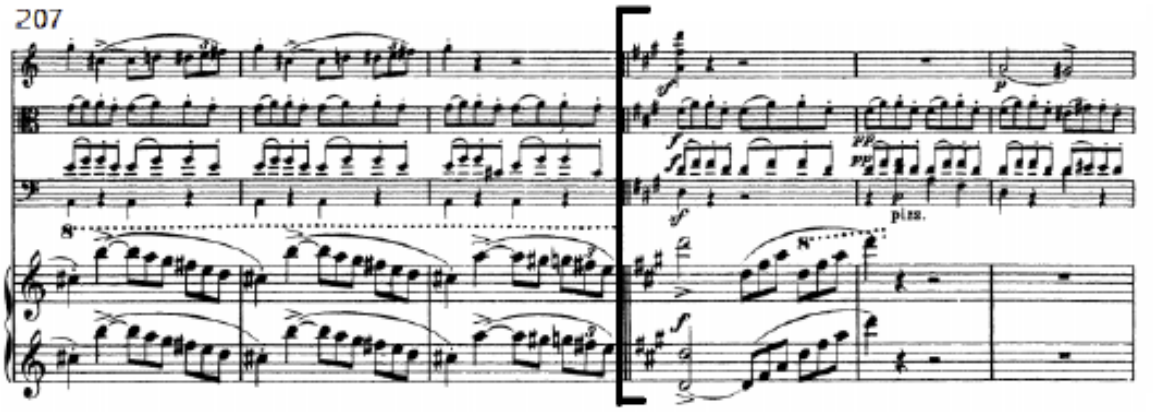
[77] Ibid.

beginning, which therefore has a preludial or introductory character.[78]

Musical Example 3.3: Schubert, "Trout" Quintet, I, mm. 1–8 (top) and 24–29 (bottom)



Musical Example 3.4: Schubert, "Trout" Quintet, I, recapitulation, mm. 207–12



[78] Janet M. Levy, "Texture as a Sign in Classic and Early Romantic Music," *Journal of the American Musicological Society* 35, no. 3 (1982): 496;doi:10.2307/830985. Levy says that the "proper" beginning is at m. 26, which seems to be an error, unless she used a different edition of the work.

By extension of this idea, Hur sees the 63-measure extension in the development serving as a preparation for the recapitulation in m. 210, like the concept mentioned by Levy. The interpretation explains the absence of the first 24 measures in the recapitulation. Moreover, Hur reasons that there are two groups of similarity, thematic and harmonic similarity and rhythmic and textural similarity, to support this interpretation. At the end, he points out the structural ambiguity about the dominant in the exposition: which dominant (in mm. 64, 75, or 85) should be the representative dominant in the exposition? Maybe this author believes that the dominant in m. 64 seems better treated as a single high-rank dominant being extended from there to the end of exposition, even though it provides a weak close on the dominant.[79]

Although Beach prefers his own first interpretation, I believe that the second one, which shows an undivided structure, is more like what Schubert conceived. Schubert uses the development as a preparation for the recapitulation, and the subdominant recapitulation to reduce the strong feeling of the appearance of the restatement. Perhaps Schubert wanted to create an uninterrupted movement for this piece. Overviewing the interpretations by Beach and Hur, I see that the function of the subdominant recapitulation as a structural passing-tone in this movement is to continue the tonal motion without interruption.

Hur observes that Schubert's basic attitude towards the irregular recapitulation is different from that of Mozart, who displayed his sense of humor via the use of the subdominant recapitulation, a breaking of convention.[80] In my view, in *Coriolan*, Beethoven used irregular forms and structures for exploration, inspiring Schubert to do the same.

[79] Hur, "Irregular Recapitulation," 116–19.

[80] Ibid., 5.

CHAPTER 4

THE INFLUENCE OF THE MUSICAL STYLE OF CHOPIN, TCHAIKOVSKY, AND RACHMANINOFF

4.1 Chopin

In addition to the structural influences discussed above, Bortkiewicz also builds upon the musical styles of Chopin, Tchaikovsky, and Rachmaninoff, as we explore in this chapter.

The influence of Chopin is understandable: Bortkiewicz was partly of Polish origin, through his mother, Sophia, who must have been affected by both Polish and Ukrainian culture. Bortkiewicz mentions that he inherited the "desire for music-making" from his mother and praised how she passionately loved music and played the piano commendably.[81] As mentioned above, Count von der Osten-Saken's wife, who had been a student of Chopin, loved the way Bortkiewicz's played the composer's music.[82] As is well known, Chopin expressed his nationalism through his works, especially those with Polish titles: polonaises and mazurkas.

Bortkiewicz also expressed some Russian nationalism: for example, his Russian dances, Op. 18; Russian Tunes and Dances, Op. 31; and Russian Rhapsody for Piano and Orchestra, Op. 45; all have melodies that sound like folk songs.

Beethoven inserted a funeral march in his Piano Sonata No. 12 in A♭ major, Op. 26, third movement, and it influenced later composers, including Chopin and Scriabin. Chopin wrote a famous funeral march in the corresponding movement of his Piano Sonata No. 2 in B-flat minor, Op. 35, and Scriabin marked "Funèbre" (funeral) for the final movement of his Piano Sonata No. 1 in F minor, Op. 6. Zukiewicz speculates that Chopin composed the funeral

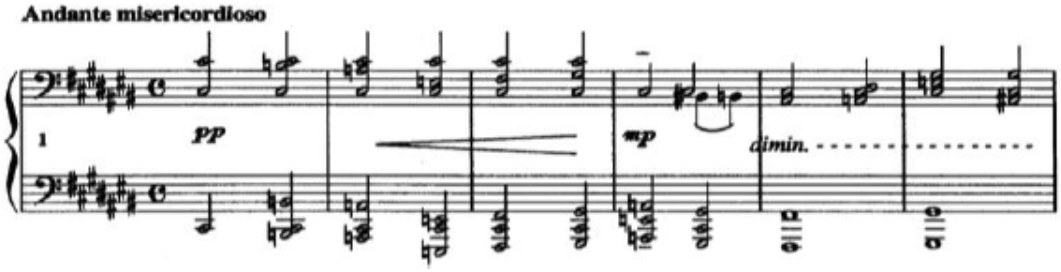
[81] Bortkiewicz, *Recollections*, 1.

[82] Ibid., 21.

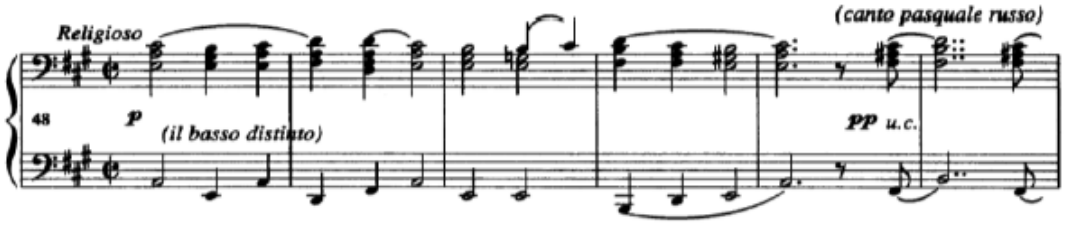
march in his sonata to represent the fighting of Polish soldiers who died for the freedom of their homeland.[83] Bortkiewicz did not give the title "funeral" for his movement; however, he used a similar concept.

In the third movement of his Piano Sonata No. 2 in C# minor, Op. 60, Bortkiewicz gave the indication "Andante misericordioso" (merciful andante) (see Ex. 4.1), adding "religioso" (religiously) in the middle section, which is reminiscent of a Russian Orthodox Church hymn (see Ex. 4.2).[84] Bortkiewicz's second piano sonata was written in 1942, during World War II, so, like Chopin, he could have been expressing his feelings about the political situation, other personal conflicts, and his exile from Russia.

Musical Example 4.1: Bortkiewicz, Piano Sonata No. 2, III, opening theme



Musical Example 4.2: Bortkiewicz, Piano Sonata No. 2, III, middle section



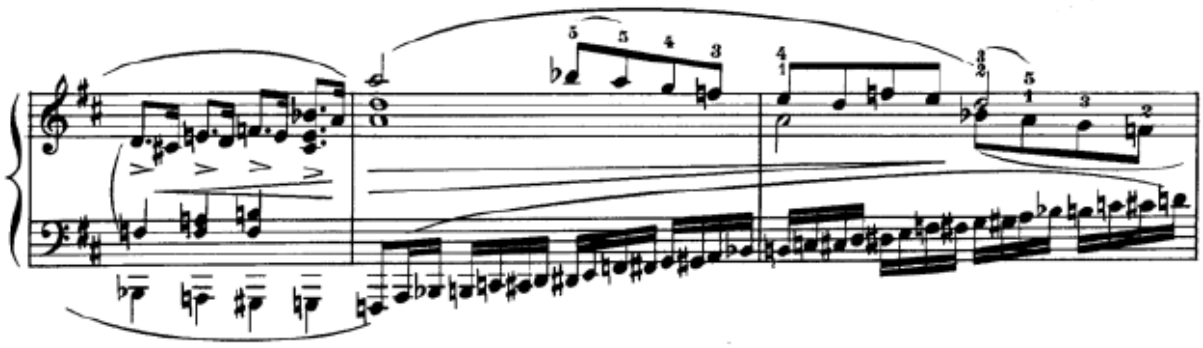
Chromaticism plays a significant role in Chopin's music. For example, Janice M. Arnold concludes that in one of his later works, Piano Sonata No. 3, Op. 58, he built tension and

[83] Adam Piotr Zukiewicz, "Chopin's Third Piano Sonata, Op. 58: Late Style, Formal Ambiguity, and Performance Considerations" (DMA document, University of Toronto, 2013), 29–30.

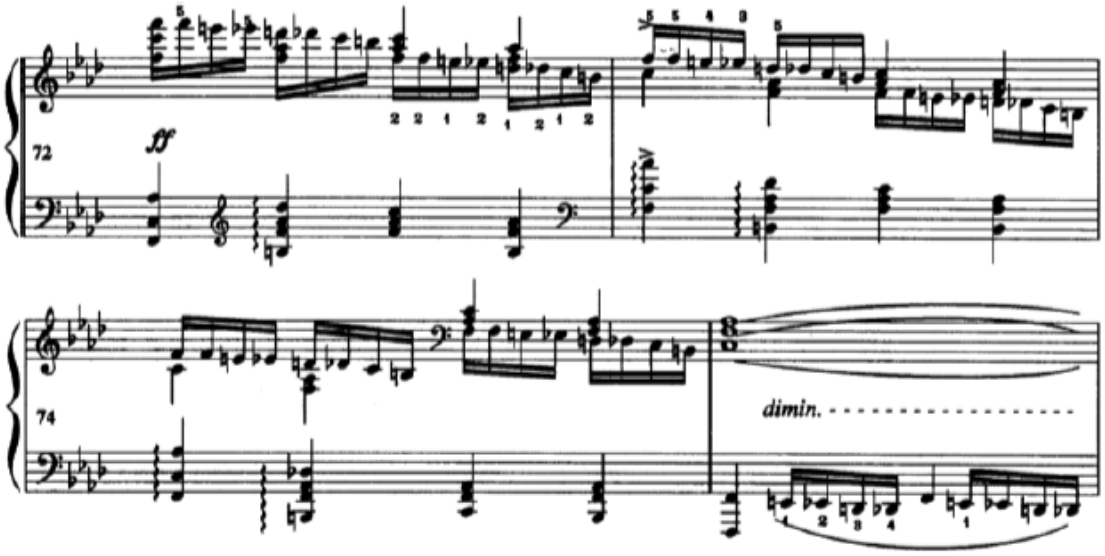
[84] Bortkiewicz, *Piano Sonata No. 2, Op. 60; Three Mazurkas, Op. 64; Jugoslavische Suite, Op. 58; Fantasiestücke, Op. 61; Lyrica Nova, Op. 59*, performed by Nadejda Vlaeva (Hyperion CDA68118, 2016), liner notes.

defined structure through chromaticism (Ex. 4.3). [85] Bortkiewicz uses a great deal of chromaticism in his works as well, but in his own way, tending to use repeating chromatic patterns (see Ex. 4.4).

Musical Example 4.3: Chopin, Piano Sonata No. 3, I, mm. 22–24



Musical Example 4.4: Bortkiewicz, Piano Sonata no. 2, I, mm. 72–75

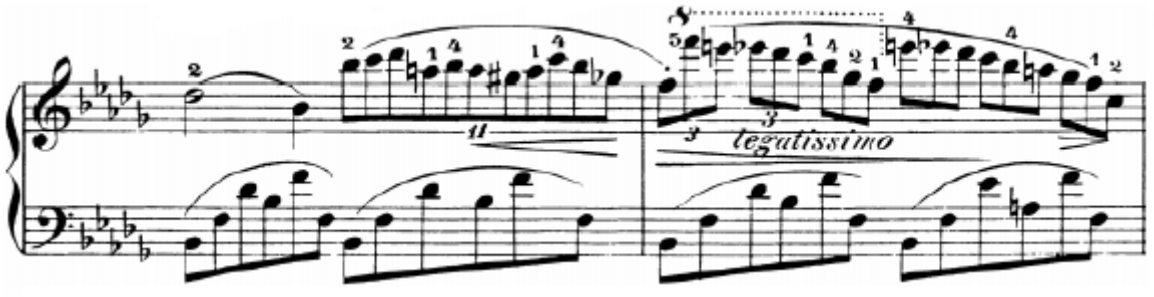


Although the piano nocturne originated with John Field in the early nineteenth century, Chopin famously adopted the genre into his style. Chopin's Nocturnes have a flexible and sometimes ornamented vocal line against broken-chord figures in the accompaniment

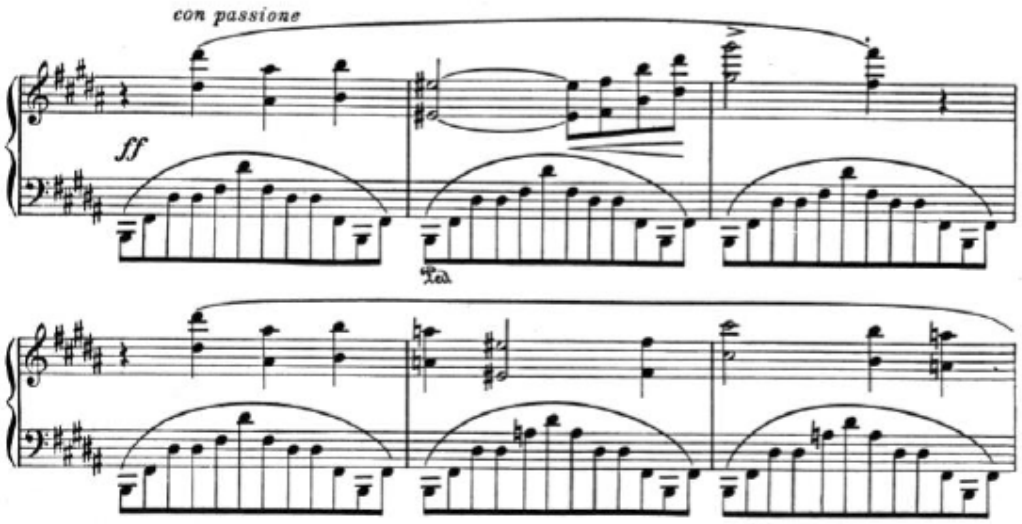
[85] Janice M. Arnold, "The Role of Chromaticism in Chopin's Sonata Forms: A Schenkerian View" (Ph.D. diss., Northwestern University, 1992), 214.

(see Ex. 4.5). The singing style frequently appears in Chopin's music, who loved Italian opera,[86] such as the works of Vincenzo Bellini (1801–1835).[87] Bortkiewicz did not write melodies as flexible as Chopin's, but his style is reminiscent of Chopin's Nocturnes in beautiful melodies supported by arpeggiated accompaniments (Ex. 4.6).

Musical Example 4.5: Chopin, Nocturne in B-flat minor, Op. 9, No. 1, mm. 11–12



Musical Example 4.6: Bortkiewicz, Piano Sonata No. 1, I, mm. 34–39



It is noteworthy that Chopin was influenced by polyphonic music.[88] Charles Rosen classifies Chopin's accompaniments as heterophonic, which means that every line could be treated as a melodic line; the accompaniment may become the melody at any moment and

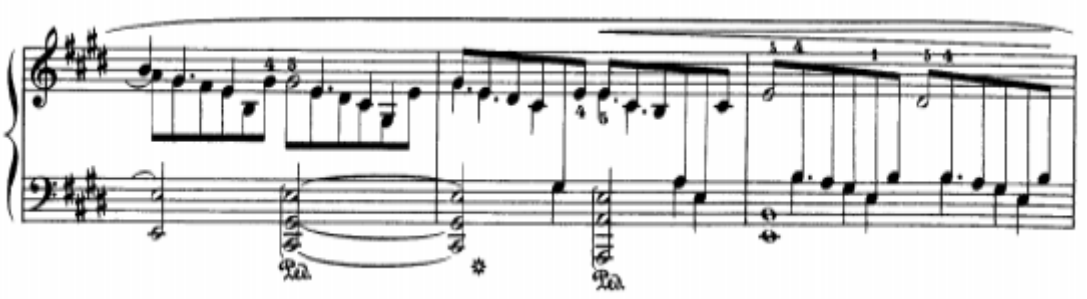
[86] Zukiewicz, "Chopin's Third Piano Sonata," 38.

[87] Encyclopædia Britannica, s.v. "Vincenzo Bellini," https://www.britannica.com/biography/Vincenzo-Bellini, accessed March 16, 2021.

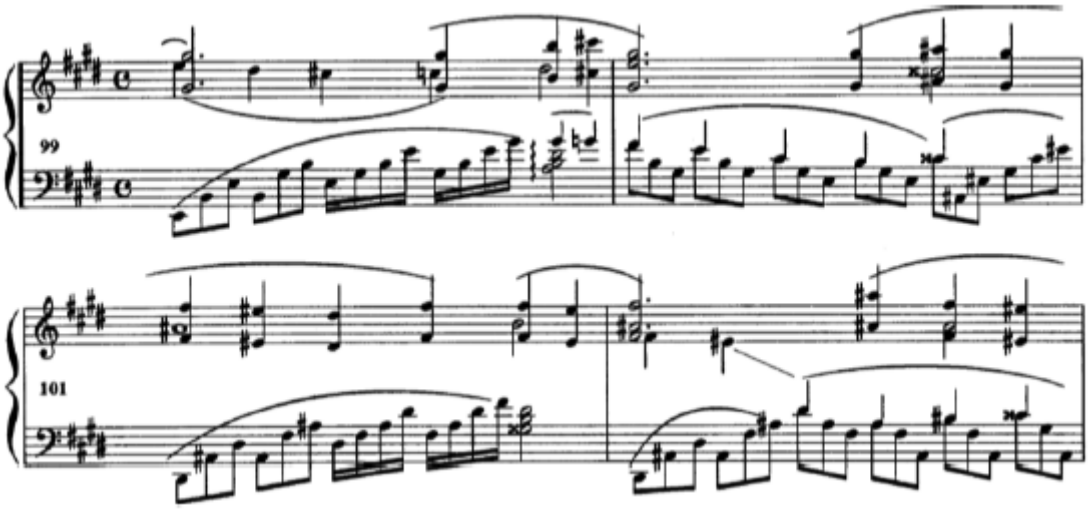
[88] Jeremy Siepmann, *Chopin*: *The Reluctant Romantic* (London: Victor Gollancz, 1995), 156.

maintain the implicit melody in the subsidiary layers.[89] Example 4.7 illustrates the polyphonic style in the third movement of Chopin's Third Piano Sonata Op. 58: the sustained harmonic resonance and multiple voices. Bortkiewicz frequently uses a similar compositional technique, employing the polyphonic concept to sustain a harmony sound and create a duet effect (Ex. 4.8).

Musical Example 4.7: Chopin, Piano Sonata No. 3, Op.58, III, mm. 31–33



Musical Example 4.8: Bortkiewicz, Piano Sonata No. 2, Op. 60, I, mm. 99–102



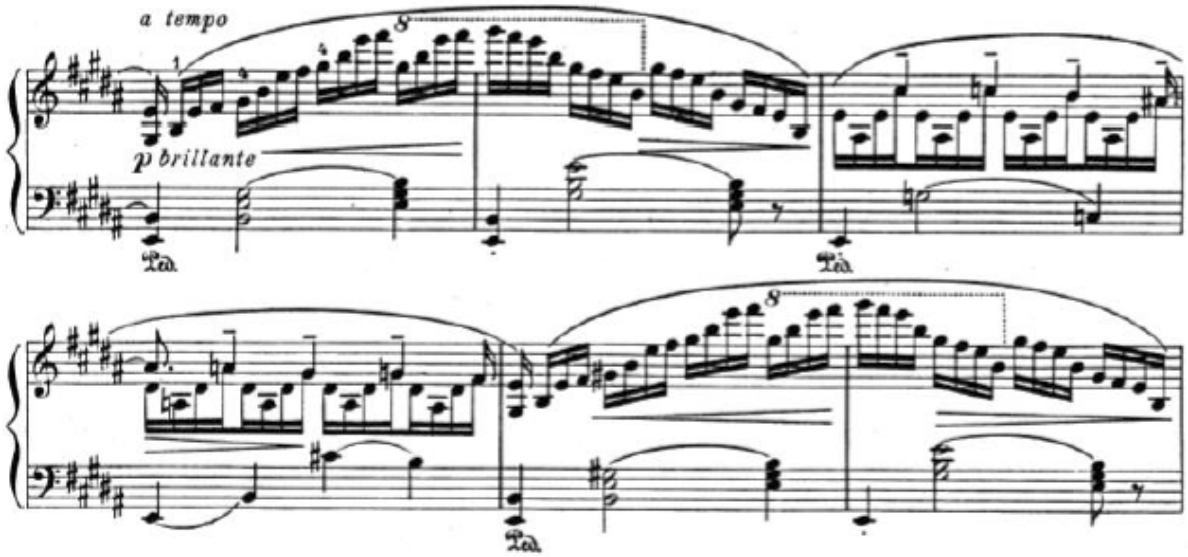
The sustaining pedal is an essential feature of Chopin's music, enabling the accompaniment of widely spread arpeggiations to support the flexible vocal line well.[90] Without these sustained pedals, performers could not achieve a rich harmonic sound.

[89] Charles Rosen, *Sonata Forms* (New York: W. W. Norton, 1988), 350.

[90] *Grove Music Online*, s.v. "Chopin, Fryderyk Franciszek," by Jim Samson; accessed 12 Sep. 2020.

Bortkiewicz also carefully indicates pedal markings in his music. In Ex. 4.9, he notates that performers should change pedal every two measures, maintaining the harmonies and supporting the brilliant and wide-ranging top voice with a steady base.

Musical Example 4.9: Bortkiewicz, Piano Sonata No. 1, Op. 9, I, mm. 69–74



Bortkiewicz appreciated Chopin's music and adopted many elements from the great Polish master in his own music.

4.2 Tchaikovsky

Pyotr Il'yich Tchaikovsky (1840–1893) was the first composer of a new Russian type, who incorporated the musical traditions of both Western European and Russia and transformed the concept of programmatic music that stemmed from Berlioz and Liszt.[91]

Bortkiewicz mentions that he was inspired by Tchaikovsky and conducted the Russian master's symphonies several times, particularly his Symphony No. 4 in F minor, Op. 36.[92] Tchaikovsky had profound feelings for his homeland. Fanny Dürbach (1822–1895), his childhood governess, told anecdotes that Tchaikovsky kissed the map of Russia and spat on

[91] *Grove Music Online*, s.v. "Tchaikovsky, Pyotr Il'yich," by Roland John Wiley; accessed 4 Jan. 2021.

[92] Johnson, "Echoes of the Past," 64.

the rest of Europe, except for France.[93] Bortkiewicz adored his homeland, Russia, and considered Ukraine to be Little Russia.[94] Furthermore, Bortkiewicz was not only called an epigone of Tchaikovsky, as mentioned in section 1.1, he gave himself the nickname "a *little* Tchaikovsky," so we would expect him to be greatly influenced by Tchaikovsky.[95]

Nationalism is a significant trait of Tchaikovsky's music, including frequent use of folk songs, elements of folk dance, and Russian Orthodox music. Russian folk songs encompass various traditions of the groups who inhabit Russian territory, including ancient Eastern Slavs.[96] The important Russian nationalist composer Mikhail Glinka (1804–1857) famously said: "It is people who created music; we, the composers, only arrange it."[97] Following in Glinka's footsteps, the Five, including Mily Balakirev (1837–1910), Alexander Borodin (1833–1887), Nikolay Rimsky-Korsakov (1844–1908), Modest Musorgsky (1839–1881), and César Cui (1835–1918) as well as Tchaikovsky were heavily influenced by folk music.[98] Tchaikovsky said: "As to the Russian element in my music generally, its melodic and harmonic relation to folk music—I grew up in a quiet place and was drenched from the earliest childhood with the wonderful beauty of Russian popular songs. I am, therefore, passionately devoted to every expression of the Russian spirit. In brief, I am a Russian, through and through!"[99] For example, the first movement of Tchaikovsky's second symphony, *Little Russian*, starts with a melody

[93] Johnson, "Echoes of the Past," 64.

[94] Bortkiewicz, *Recollections*, 9.

[95] Bortkiewicz mentions: "I would be happy if in the course of my life, I—a *little* Tchaikovsky—would meet a corresponding little Frau von Meck." Letter to Hugo van Dalen. Ibid., 41.

[96] Yelizaveta Beriyeva, "Russian Musical Elements: An Analysis of Selected Piano Works by Mily Balakirev (1837–1910)" (DMA document, University of Arizona, 2021), 17–18.

[97] Vadim Prokhorov, *Russian Folk Songs: Musical Genres and History* (Lanham, MD & London: Scarecrow Press, 2002), 14.

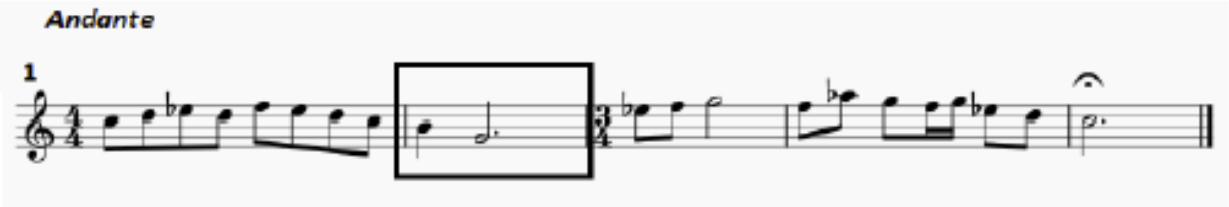
[98] *Grove Music Online*, s.v. "Five, the," by Edward Garden; accessed March 16, 2021.

[99] David Ewen, *The Complete Book of Classical Music* (New York: Robert Hale, 1966), 738.

based on the Ukrainian folk song "Down by Mother Volga" and quotes the folk songs "Spin, O My Spinner" in the second movement and "The Crane" in the final movement.[100]

Although Bortkiewicz considered Ukraine to be Little Russia, he grew up in Ukraine and was immersed in Ukrainian culture. Yakov Soroker outlines several melodic characteristics of Ukrainian folk song.[101] Based on these characteristics, we can observe that Bortkiewicz uses folk melodic elements in his works. For instance, one trait of these characteristics is resolving the leading tone down a third.[102] Example 4.10, from the Ukrainian folk song "The Cossack Rode Home from the Don," shows the trait in the second measure.[103]

Musical Example 4.10: "Oi ishov kozak z Donu dodmu," as recorded by Mykola Lysenko, mm. 1–5



Following this clue helps us to trace the inspiration of folk song in Bortkiewicz's music. He provides the indication "Tema russo" (Russian theme) for the third movement of his Piano Concerto No. 1 in B-flat major, Op. 16 (see Ex. 4.11). We are able to recognize that the melody might be a folk song because of the resolution from leading tone to fifth, F#–D, in m. 13.[104]

[100] Eric Bromberger, "Symphony No. 2, "Little Russian" (Peter Ilyich Tchaikovsky)," Los Angeles Philharmonic, https://www.laphil.com/musicdb/pieces/3941/symphony-no-2-little-russian; accessed January 4, 2021.

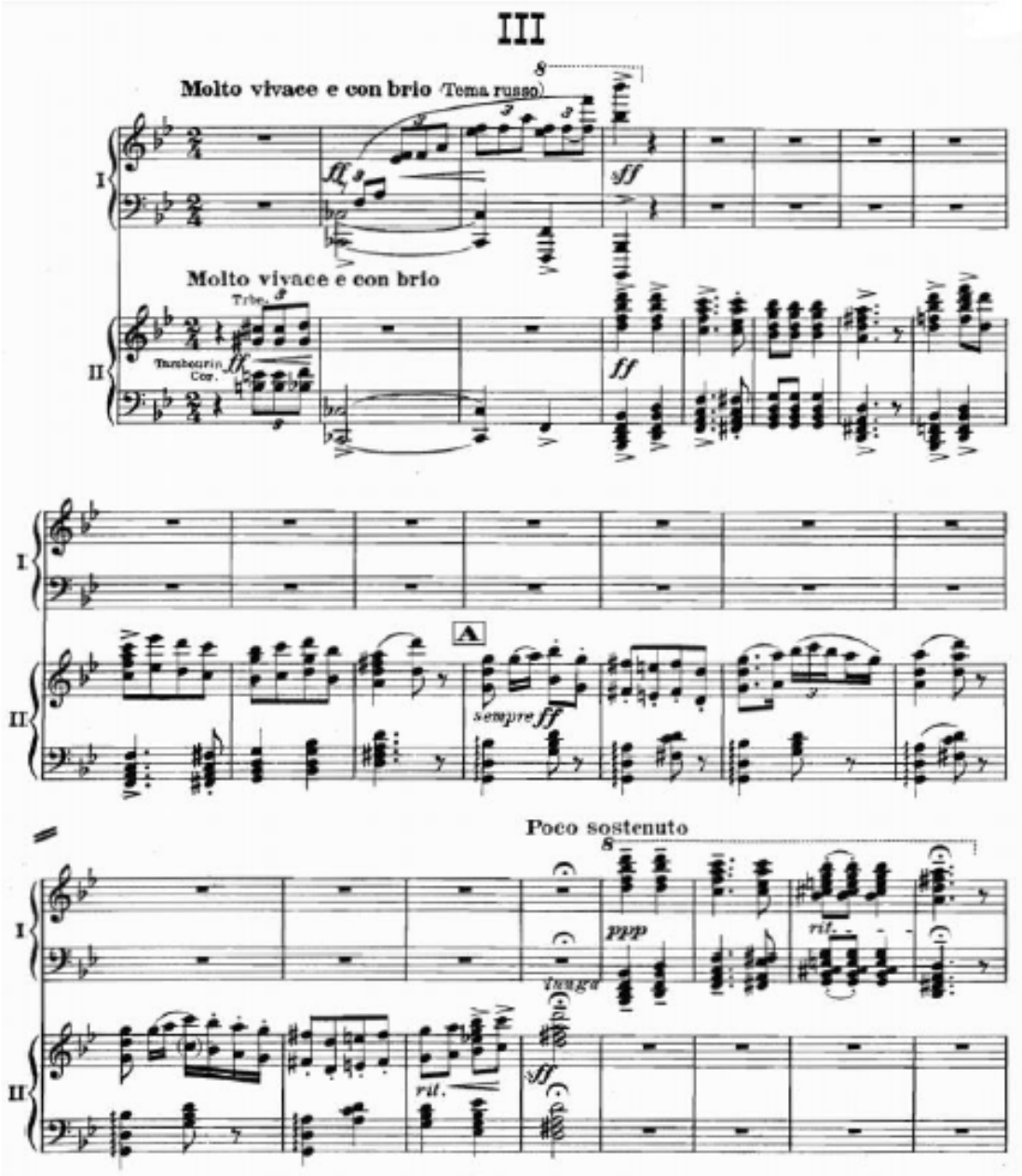
[101] Johnson, "Echoes of the Past," 42–43.

[102] Yakov Soroker, *Ukrainian Musical Elements in Classical Music,* trans. Olya Samilenko (Toronto: Canadian Institute of Ukrainian Studies Press, 1995), 5.

[103] Johnson, "Echoes of the Past," 44.

[104] Ibid., 47.

Musical Example 4.11: Bortkiewicz, Piano Concerto No. 1, Op. 16, III, two-piano version, mm. 1–23



Folk dance was frequently used by composers in the nineteenth century to present a national spirit and supply musical energy. For example, Tchaikovsky's famous Russian Dance, also known as "Trepak," of his *Nutcracker* Suite is a Cossack dance.[105] Even though Bortkiewicz only wrote one ballet, *Arabische Nächte* (Arabian Nights), Op. 37, he composed

[105] BBC News, "CBBC—Ten Pieces—The Nutcracker—Waltz of the Flowers and Russian Dance by Tchaikovsky," BBC News, https://www.bbc.co.uk/programmes/articles/1w11J8l4r6Gn8xl1ZlPchVd/the-nutcracker-waltz-of-the-flowers-and-russian-dance-by-tchaikovsky; accessed January 4, 2021.

Russische Tänze (Russian Dances), Op. 18 and *Russische Weisen und Tänze* (Russian Tunes and Dances), Op. 31. Moreover, Bortkiewicz seems to depict a folk dance in the second movement of his first symphony in D major "From my Homeland," Op. 52. The composer wrote:

> The scherzo is a cheerful piece in which life in a Russian village is portrayed; for example, balalaika choirs, shepherds and their flocks—exuberant cheerfulness, lusty dances and the laughter of girls. The piece is of Mozartian joviality, but nevertheless very Russian. After the trio the scherzo is repeated, as a remembrance to the happy, cheerful Russian people.[106]

Russian composers loved to use not only church bell elements in their works, such as in Rachmaninoff's choral symphony, The Bells, Op. 35, but also Russian Orthodox hymns. Tchaikovsky quotes a melody from the Russian Orthodox Requiem Mass in the first movement of his Symphony No. 6 in B minor, Op. 74, also known as the *Pathétique* Symphony, and wrote a hymn-like melody cut by the return of the lamenting main theme in the final movement.[107] Bortkiewicz presents a similar concept in the third movement of his Piano Sonata No. 2 (see Ex. 4.2): an innocent melody that can offer listeners a short, redeeming moment away from hysterical and frenzied emotions.

One remarkable feature of Romantic music is its association with literature. For example, Tchaikovsky's *Tempest: Symphonic Fantasia after Shakespeare*, Op. 18, and *Francesca da Rimini: Symphonic Fantasy after Dante*, Op. 32. Literature and fairy tales inspired Bortkiewicz as well. For example, his *Aus Andersens Märchen* (From Andersen's Fairy Tales), 12 pieces, Op. 30; *Kindheit: 14 leichte Stücke nach dem Roman von Leo Tolstoi* (Childhood: 14 Light Pieces after the Novel by Leo Tolstoy), Op. 39; and *Arabische Nächte*, Op. 37.

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[106] Malcolm Henbury-Ballan, "Bortkiewicz, Symphony No. 1 in D major, "From my Homeland," Op. 52," Hyperion Records, https://www.hyperion-records.co.uk/dw.asp?dc=W4688_67338; accessed January 5, 2021.

[107] Kelly Dean Hansen, "Passionate, Not Pathetic: Tchaikovsky's Symphony No. 6: Colorado Music Festival: Summer Classical Music Festival," Colorado Music Festival, https://coloradomusicfestival.org/passionate-not-pathetic-tchaikovskys-symphony-no-6/; accessed January 4, 2021.

Tchaikovsky employed the concept of program music throughout his career. For instance, his Symphony No. 1 in G minor, Op. 13, *Winter Daydreams*; *The Seasons*, Op. 37a; and his last work, the *Pathétique* Symphony (which he originally considered calling "Program Symphony").[108] Bortkiewicz was adapted at giving titles to his works for suggesting to performers and listeners what he wanted to convey. For example, his *Kindheit*, Op. 39 and *Marionettes*, 9 pieces, Op. 54.

Bruce Benward and Marilyn Saker point out that Tchaikovsky has a tendency to repeat a melody or melodic figure at a higher or lower pitch in the same voice, a ubiquitous feature of Bortkiewicz's music.[109] In the first movement of Tchaikovsky's Symphony No. 6, the composer repeats the melodic motive, and cumulates these motives to create a section. Example 4.12 demonstrates the use of this "block" compositional technique.[110] It clearly shows that the melodic motive consisting of two ascending eighth notes that appears at the beginning of the first theme steps down and is followed by four sixteenth notes and a descending-second interval, pushing the music to the peak of this section (m. 39). The next pattern of repetition immediately takes over the music in mm. 39–41. Within 13 measures, Tchaikovsky uses two patterns of repetition to propel these segments of the initial repetition to a climax and then push other fragments of the following repetition down and make these two repetitions create constantly changing emotions (from being cautious to exciting to mysterious).

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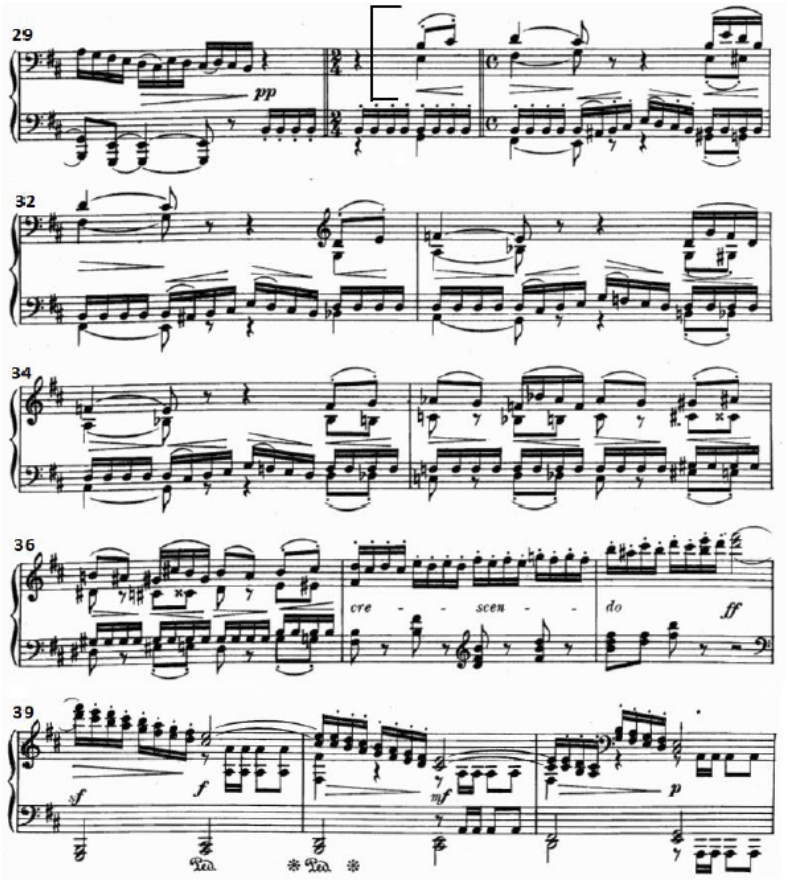
[108] Hansen, "Passionate,".

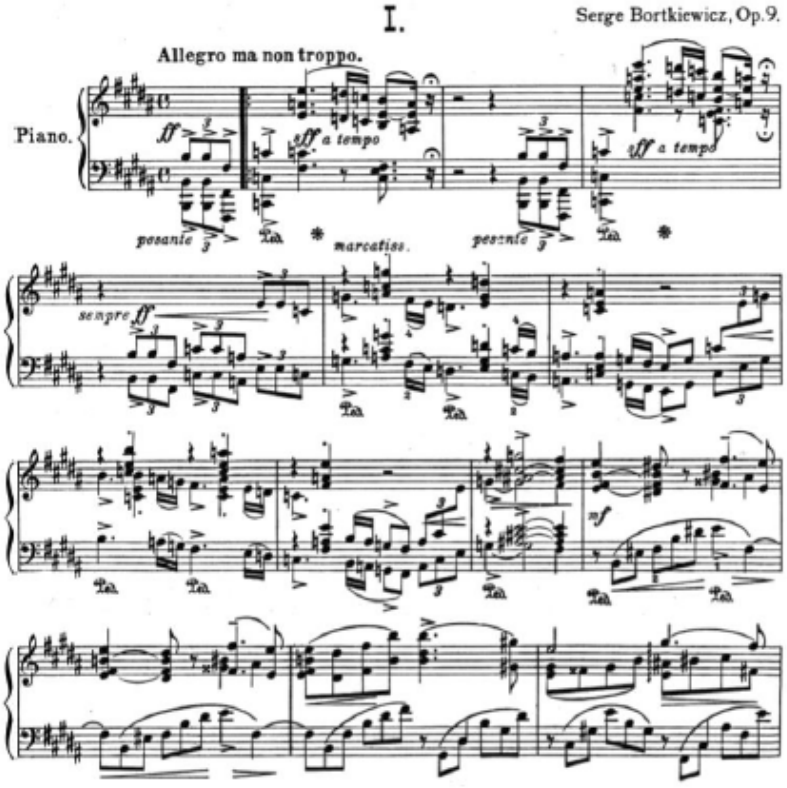
[109] Bruce Benward and Marilyn Saker, *Music: In Theory and Practice*, Vol. 1, 7th ed. (New York: McGraw-Hill College, 1997), 111–12.

[110] "... the initial passages repeat in their entirety without ornamentation, exemplifying a technique that is referred to here as *block* composition." Brent Auerbach, "Tchaikovsky's Triumphant Repetitions: Block Composition as a Key to Dynamic Form in the Symphonies Nos. 2 and 3," *Theory and Practice* 37/38 (2012): 64; http://www.jstor.org/stable/43864907

Musical Example 4.12: Tchaikovsky, Symphony No. 6, I, piano version arr. Paul Klengel, mm. 29–41



Musical Example 4.13: Bortkiewicz, Piano Sonata No. 1, I, mm. 1–13



As mentioned above, this repetitive compositional technique is ubiquitous in Bortkiewicz's music. In Ex. 4.13, it can be observed that he repeats the opening motive twice, and then uses the segments of this opening motive to force the music into the first theme at m. 10. As Tchaikovsky did in the first movement of his Symphony No. 6, Bortkiewicz arranges several repetitions to link the music, producing the effect of endless melody.

The influence of Tchaikovsky also consists in evoking intimate, profound, and emotional expression. Tchaikovsky revealed his detailed thoughts regarding the Symphony No. 4 in F minor, Op. 36, to his patron, Madame von Meck, depicting a contest between Fate and the soul.[111] Bortkiewicz's First Symphony, Op. 52, "From my Homeland," is reminiscent of the Tchaikovsky symphony. Bortkiewicz provides a detailed description of this symphony: tragedy, suffering, cheerful Russian people, sorrow, and Fate.[112] Bortkiewicz might have been trying to convey similar emotions in his last piano sonata, which contains passionate expression, elements of folk dance, a gentle nocturne, a fleeting and merciful hymn-like melody, and determination of fighting by fate.

4.3 Rachmaninoff

Sergei Rachmaninoff (1873–1943) was a great Russian pianist-composer and conductor who represented Russian late Romanticism. Bortkiewicz expressed his admiration for Rachmaninoff in his recollections:

> He is world-famous and stands for many (also for me) as the greatest and most interesting pianist of the present time. Everything that he plays bears the stamp of his original highly artistic personality. His career as a virtuoso is extremely unique. Before the war he played abroad very rarely. He played his piano concertos off and on, that was all. He did not give any attention to his great pianistic talent... When necessity

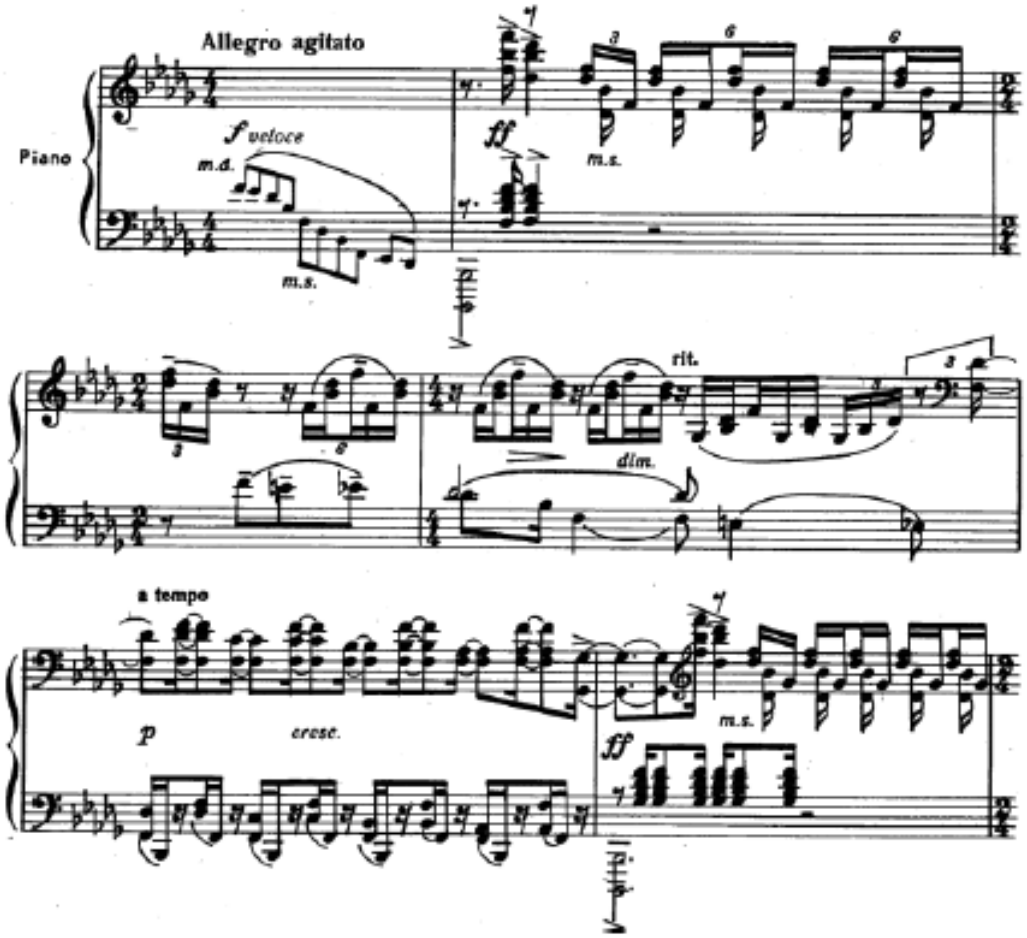
[111] Marina Frolova-Walker, "Radio 3—Classical/Tchaikovsky & Stravinsky/A-Z. Letter P," BBC, https://www.bbc.co.uk/radio3/classical/tchaikovsky/atoz/tchaik_p_programme.shtml; accessed January 4, 2021.

[112] Henbury-Ballan, "Bortkiewicz, Symphony No. 1."

came, when he lost his entire property and had to flee from the Bolsheviks out of Russia, he really began his pianistic career in America, and actually at the age of 45. An astonishing accomplishment, astounding energy![113]

Rachmaninoff replied to people who asked him about his attitude toward modern music: "I am organically incapable of understanding modern music, therefore I cannot possibly like it; just as I cannot like a language, let us say, whose meaning and structure are absolutely foreign to me."[114] Bortkiewicz also mentioned his distaste for modern music in his recollections: "When I read a Soviet text, I feel quite upset, like the discord of 'modern' atonal music."[115]

Musical Example 4.14: Rachmaninoff, Piano Sonata No. 2, Op. 36, I, mm. 1–6

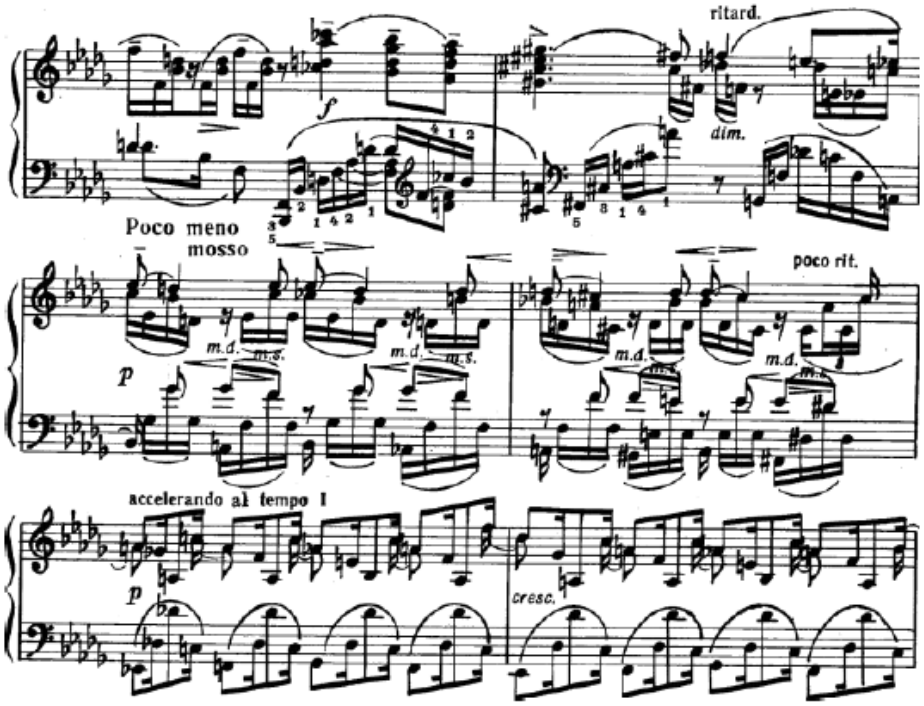


[113] Bortkiewicz, *Recollections*, 23–24.

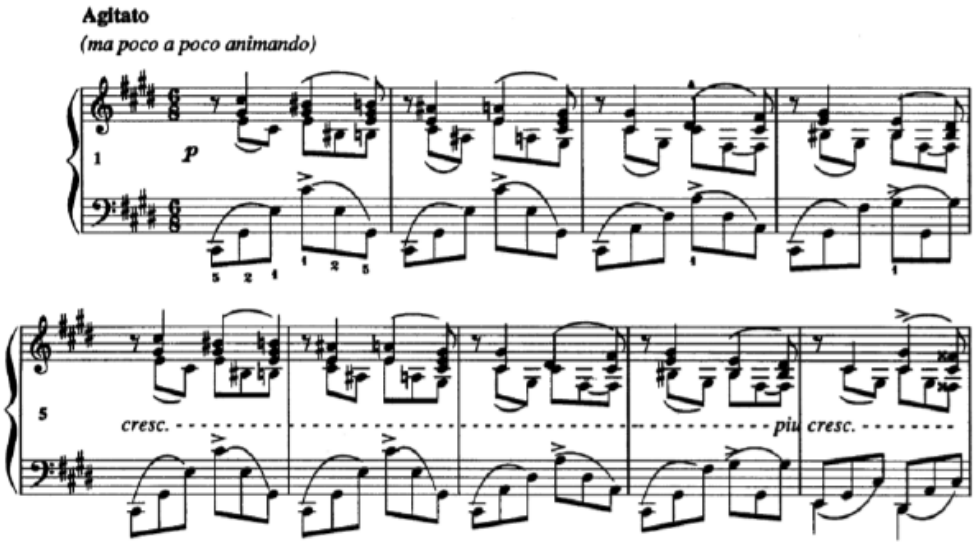
[114] Joseph Yasser, "Progressive Tendencies in Rachmaninoff's Music," *Tempo*, no. 22 (1951): 11, http://www.jstor.org/stable/943073.

[115] Bortkiewicz, *Recollections*, 9.

Musical Example 4.15: Rachmaninoff, Piano Sonata No. 2, Op. 36, I, mm. 11–16



Musical Example 4.16: Bortkiewicz, Piano Sonata No. 2, Op. 60, IV, mm. 1–9



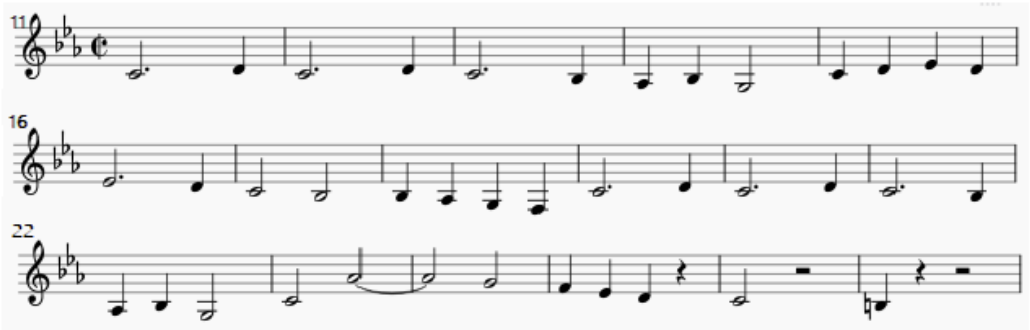
The element of chromaticism is crucial in Rachmaninoff's works.[116] Chromatic progression enriches the color of the work and provides emotional tension. Furthermore, it creates an ambiguous effect that connects each section well. For example, the opening

[116] Stewart Gordon, *A History of Keyboard Literature: Music for the Piano and Its Forerunners* (Cengage Learning, March 6, 1996), 433.

melody of the first movement of Rachmaninoff's Piano Sonata No. 2 in Bb minor, Op. 36, consists of a descending chromatic scale and descending-fifth scale (see Ex. 4.14). Rachmaninoff not only uses the chromatic descending melody to construct the opening melody, but also continues to use the element of chromaticism to lead the music to the next section (see Ex. 4.15). Similarly, in the fourth movement of his Second Piano Sonata, Bortkiewicz uses a chromatic descending melody as the main theme and another descending chromatic scale in the inner voice (see Ex. 4.16).

Spinning out melodies to extraordinary lengths is an impressive feature of Rachmaninoff's music.[117] These melodies evoke the composer's homeland: broad and frozen Russia. Example 4.17 shows the initial melody of the first movement of Rachmaninoff's Piano Concerto No. 2 in C minor, Op. 18.

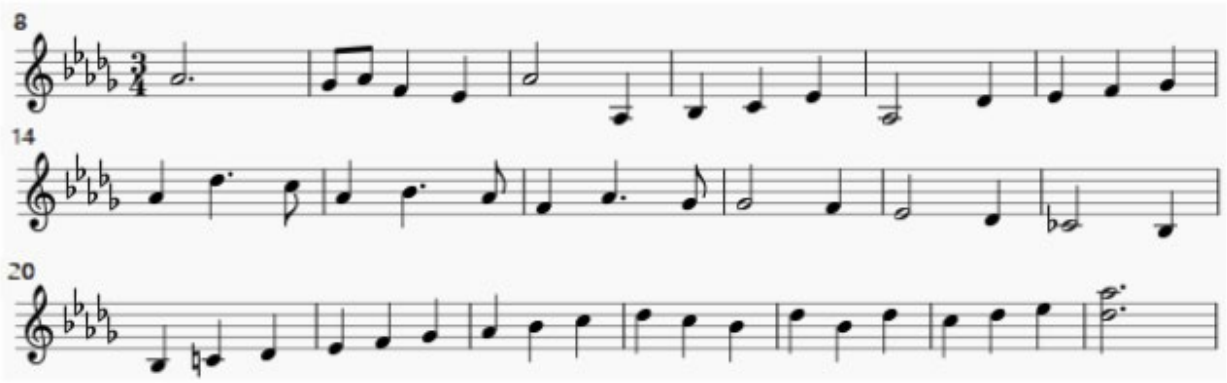
Musical Example 4.17: Rachmaninoff, Piano Concerto No. 2, Op. 18, I, mm. 11–27



Bortkiewicz described himself as a melodist, and he was truly able to write beautiful and lengthy melodies in his works. Example 4.18 shows the main theme of the third movement of Bortkiewicz's Second Piano Sonata. There is an overlap in m. 26: Db is the end of the initial phrase, and Ab in m. 26 is the beginning of the next phrase, repeating the initial melody an octave higher. Bortkiewicz constructs this section from the two repeating melodies.

[117] Gordon, *A History*.

Musical Example 4.18: Bortkiewicz, Piano Sonata No. 2, Op. 60, III, mm. 8–26



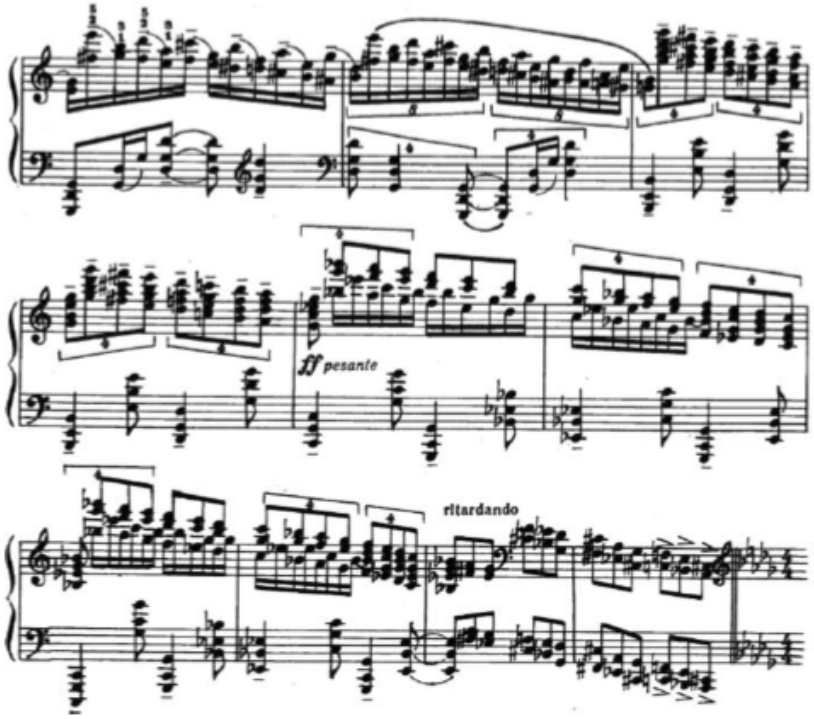
According to Stewart Gordon, driving rhythms is one of the most common features of Rachmaninoff's music, as we can see in Exx. 4.14 and 4.15.[118] The tight rhythm forces the music to keep moving toward the next phrase without a pause. In Ex. 4.16, Bortkiewicz uses driving rhythm throughout the whole movement, creating excitement.

To create a rich orchestra-like sound, massive and extended chord progressions are an effective method. As a great pianist, Rachmaninoff boldly used plenty of continuous, heavy, and bell-like chords in his music. Example 4.19 shows the magnificent descending-chord progression in the right hand with wide-register chords in the left hand, both symbolizing bell sounds. Such a musical passage not only creates a majestic atmosphere, but also tests the power and endurance of pianists. It is worth mentioning that using wide chords for a bell-like sound is another musical feature of Rachmaninoff, his choral symphony, *The Bells*, being the best example.[119] Similar to Rachmaninoff, Bortkiewicz employs chordal materials to depict a victorious scene in the first movement of his Piano Sonata No. 1 (Ex. 4.20).

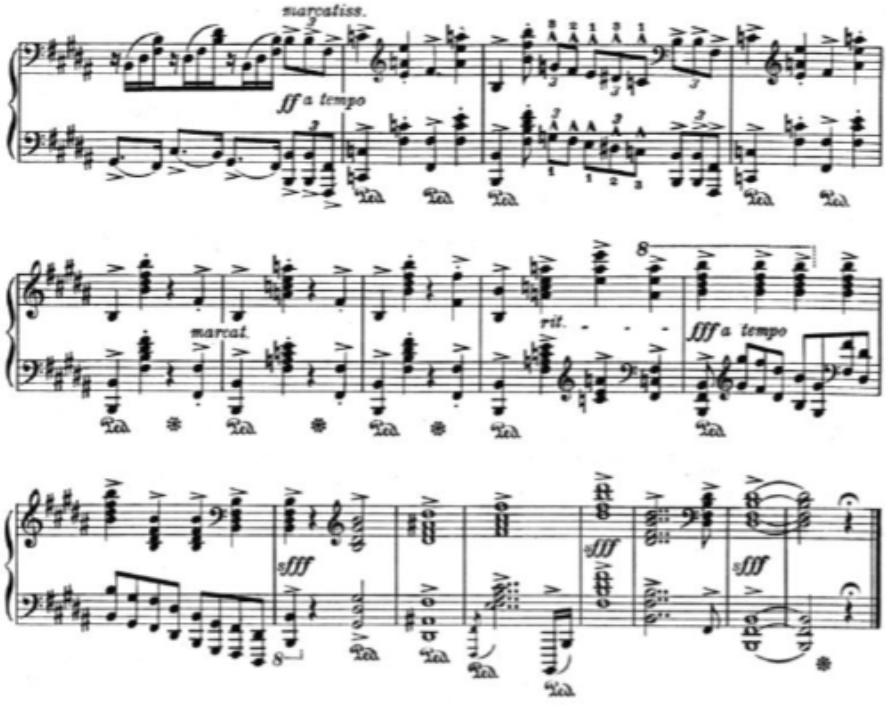
[118] Gordon, *A History*.

[119] *Grove Music Online*, "Rachmaninoff [Rakhmaninov, Rachmaninov], Serge," by Geoffrey Norris; accessed January 5, 2021.

Musical Example 4.19: Rachmaninoff, Piano Sonata No. 2, Op. 36, I, mm. 88–97

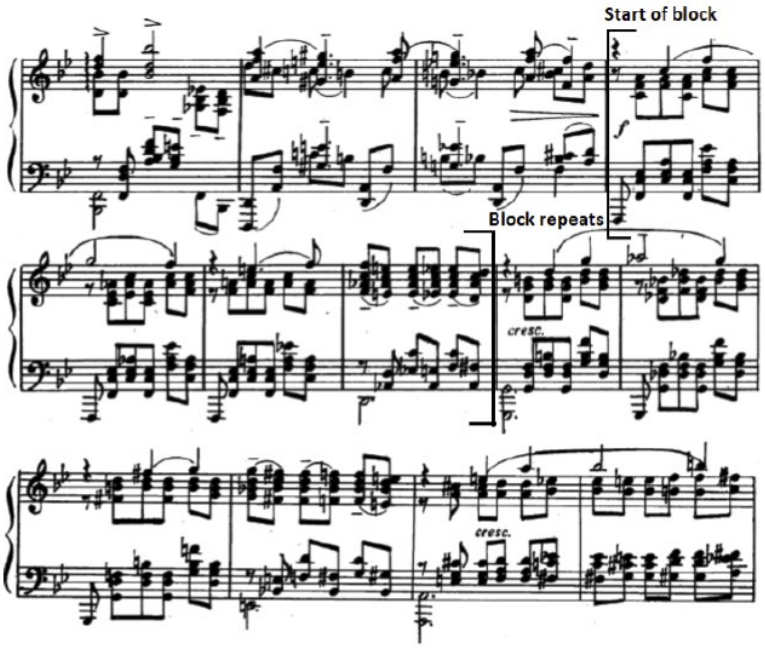


Musical Example 4.20: Bortkiewicz, Piano Sonata No. 1, Op. 9, I, mm. 241–57



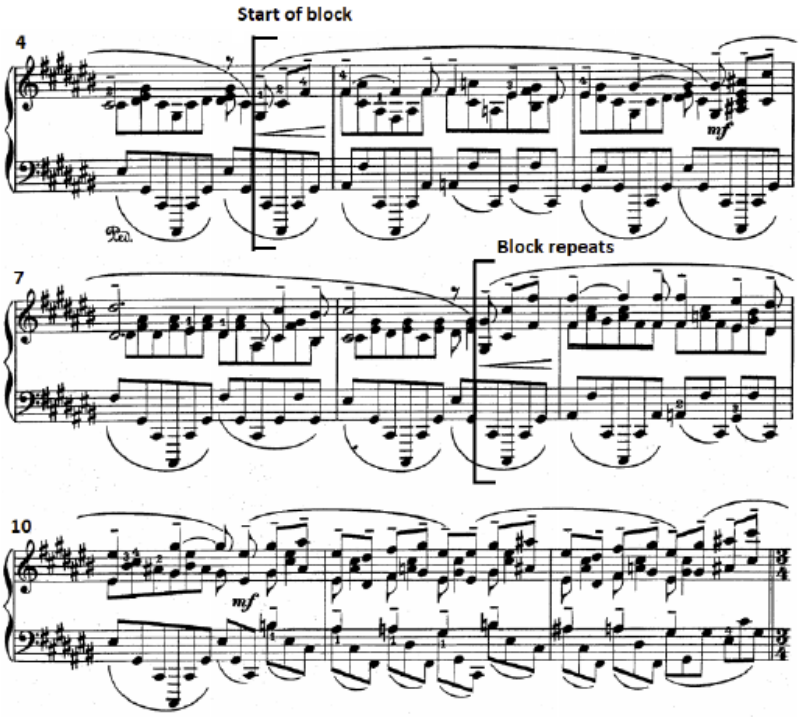
Like Tchaikovsky, Rachmaninoff has a tendency to use repeating and block compositional techniques. Example 4.21 shows his use of repeating, blocking motives. The repetitions include both melodies and accompaniments.

Musical Example 4.21: Rachmaninoff, Piano Sonata No. 2, Op. 36, III, mm. 191–203



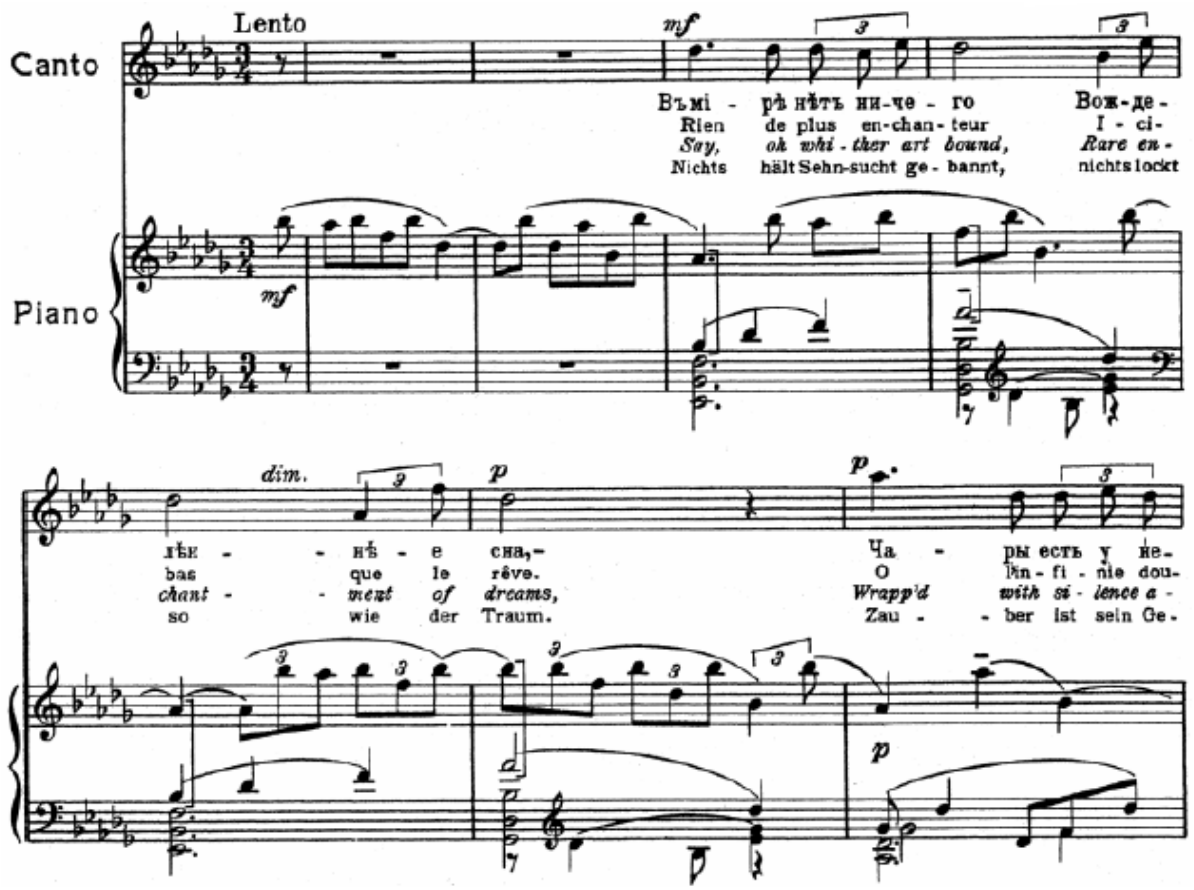
Bortkiewicz loves to use the repetitive compositional technique, as can be seen in his piano work, *Elegie*, Op. 46. In Ex. 4.22, we see the main melody, which starts in the low register in m. 4. An echo-like, higher octave fragment of the same melody follows it and transforms to another pattern to prepare the next section.

Musical Example 4.22: Bortkiewicz, *Elegie*, Op. 46, mm. 4–12



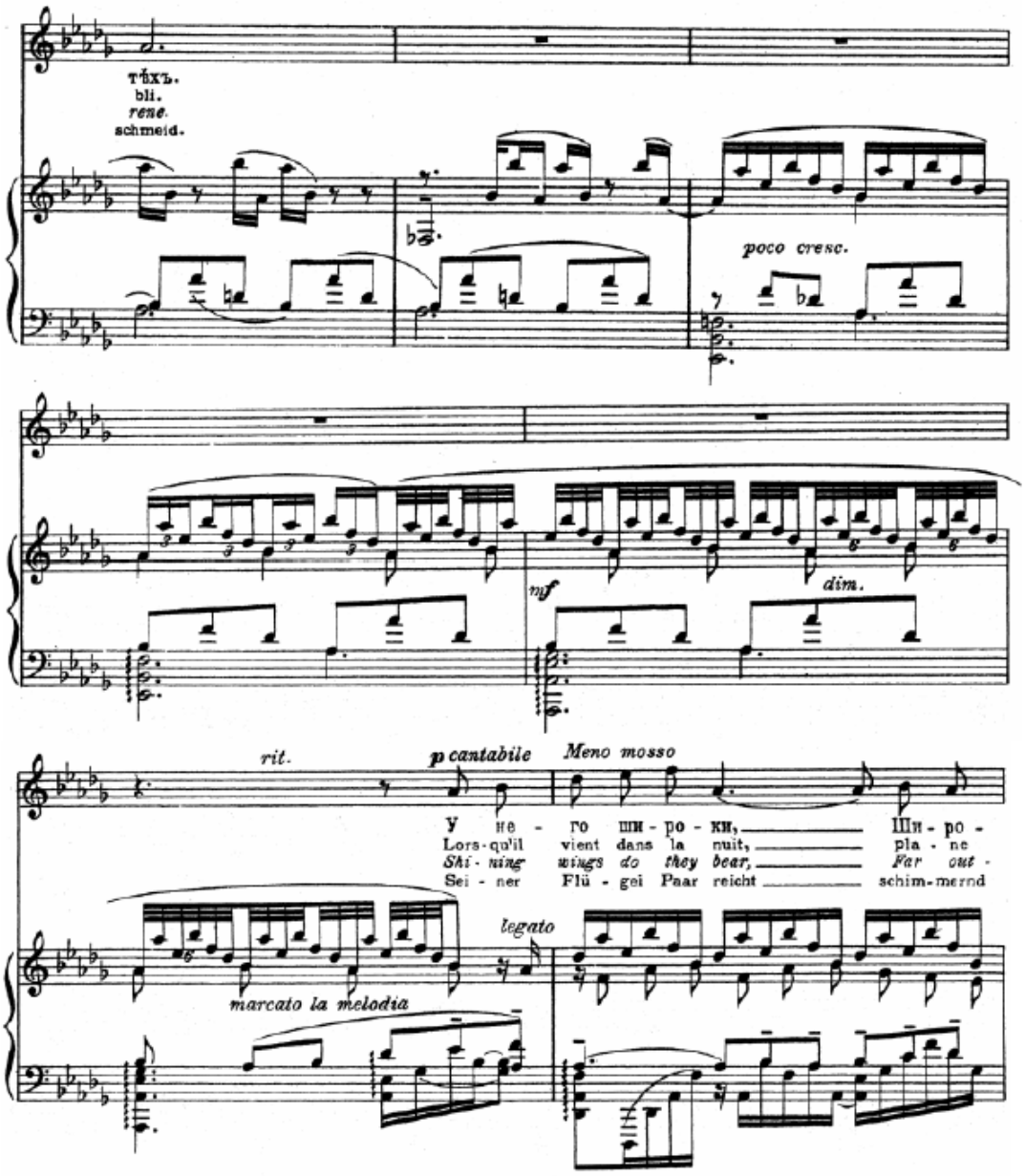
Besides solo piano music, Rachmaninoff had a talent for writing art songs. In them, the piano does not only play the role of the accompaniment but takes a leading role along with the vocal part, and perfectly balances voice and piano.[120] Moreover, Rachmaninoff was good at depicting the image of the lyrics through the music. For example, the first stanza of his art song, *A Dream*, Op. 38, No. 5, conveys a still scene, so Rachmaninoff wrote a wandering, mysterious, and slower speed for it (see Ex. 4.23). Before the next stanza starts, Rachmaninoff changed the pattern into a soaring one to reflect the words "shining wings" (see Ex. 4.24).

Musical Example 4.23: Rachmaninoff, Six Songs for Voice and Piano, Op. 38, No. 5, *A Dream*, mm. 1–7



[120] Norris, "Rachmaninoff."

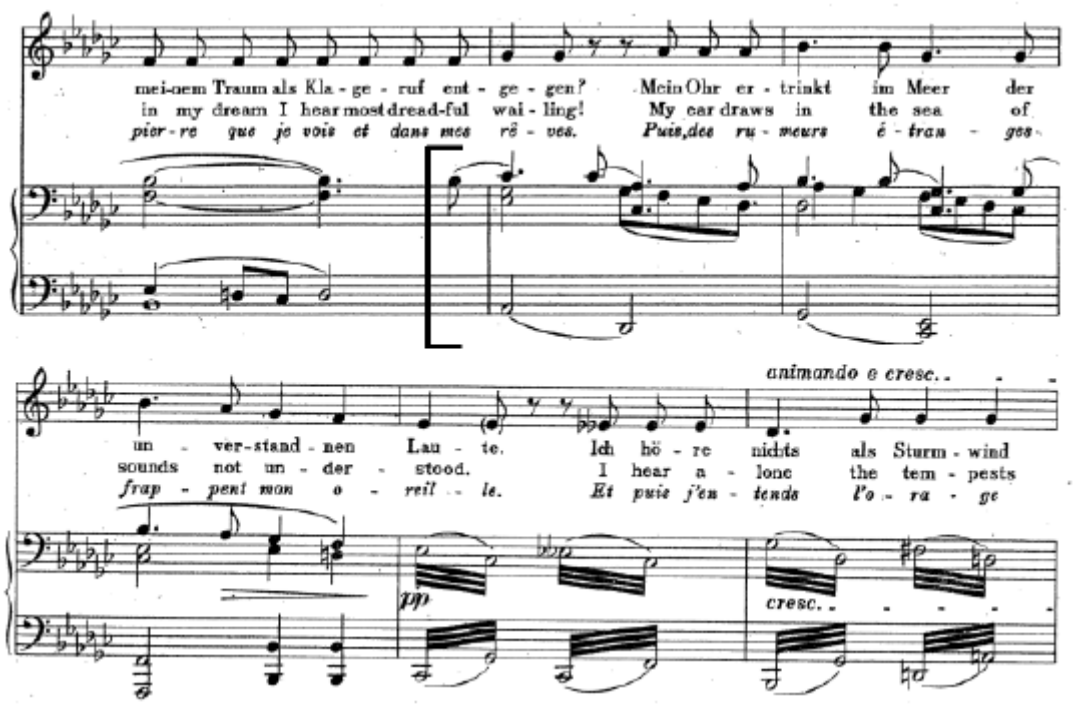
Musical Example 4.24: Rachmaninoff, Six Songs for Voice and Piano, Op. 38, No. 5, *A Dream*, mm. 17–23



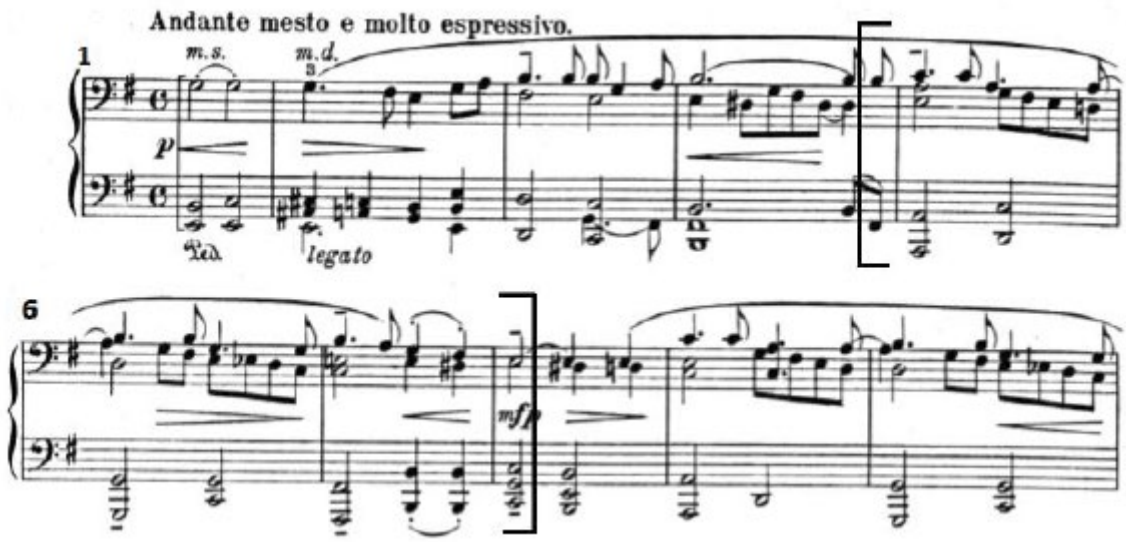
Bortkiewicz wrote several songs, in which he expresses the images and lyrics carefully and attentively. For example, his *Sternflug des Herzens*, Op. 62, No. 1, "Allein" (Alone), describes his sorrow at missing his homeland. It is noteworthy that Bortkiewicz uses tremolos to describe the tempests. Also interesting, his use of a melody taken from the second movement of his Piano Sonata No. 1 on the words "dreadful wailing" (Exx. 4.25 and 4.26). This sonata was written in his early period, when he traveled between Berlin, Ukraine, and

Europe, perhaps the happiest time of his life. Thus, the occurrence of this melody in this song may be seen to represent nostalgia.

Musical Example 4.25: Bortkiewicz, *Sternflug des Herzens*, Op. 62, No. 1, "Allein," mm. 8–13



Musical Example 4.26: Bortkiewicz, Piano Sonata No. 1, Op. 9, II, mm. 1–10



CHAPTER 5

ANALYSIS OF THE FIRST MOVEMENT OF BORTKIEWICZ'S PIANO SONATA NO. 1 IN B MAJOR, OP. 9

5.1 The Background of Bortkiewicz's First Piano Sonata

Bortkiewicz's Piano Sonata No. 1 in B major, Op. 9, was published by Daniel Rahter (1828–1891) in Hamburg in 1909. Bortkiewicz composed this sonata in his happy period: winning the Schumann prize on graduation, a recommendation for working with an orchestra by his teacher, Alfred Reisenauer, getting married, starting a new life, and giving concerts in many cities.[121]

There is little information about the circumstances in which he composed this sonata. However, through understanding Bortkiewicz's life as well as the musical surface and structure researchers and musicians can come to a suitable interpretation of the work. For example, as mentioned in chapter 4, Bortkiewicz uses a melody taken from the second movement of this sonata in his art song *Sternflug des Herzens*, Op. 62, No. 1, "Allein," which may prove to have significance for the sonata.

The sonata consists of three movements: the first is a faster movement (Allegro ma non troppo) in sonata form with the unusual subdominant recapitulation; the second is a beautiful and slower movement (Andante mesto e molto espressivo), and the final is a fast, energetic and folk dance-like movement (Presto).

5.2 Analysis of the First Movement of Bortkiewicz's Piano Sonata No. 1, Op. 9

The most significant structural feature of this sonata is the importance of the subdominant. Not only the use of subdominant recapitulation, but Bortkiewicz also selected

[121] Bortkiewicz, *Recollections,* 18–20.

E minor, the subdominant key of B major for the key of the second movement. It shapes the first and the third movement (in B major), creating an arch design for the whole sonata. As in the analyses of Mozart's Piano Sonata, K. 545, by Wen and Schubert's "Trout" Quintet by Hur, there is also a I–IV–V–I structural progression in this movement. A dominant occurs before the appearance of the structural IV, but that dominant is a non-structural note and back-relates to the tonic. As shown in Ex. 5.1, the initial dominant in m. 47 confirms the key of B major. Moreover, the subdominant is the center of this movement and, in my reading, is almost as important as the tonic.

There are reasons to support my analysis:

(1) The delay of the real tonic. In the introduction, the key of the music is uncertain. This section consists of many seventh chords and lacks a complete B chord (no third or fifth). The confirmed tonic finally appears at the beginning of the transition in the exposition (m. 33).

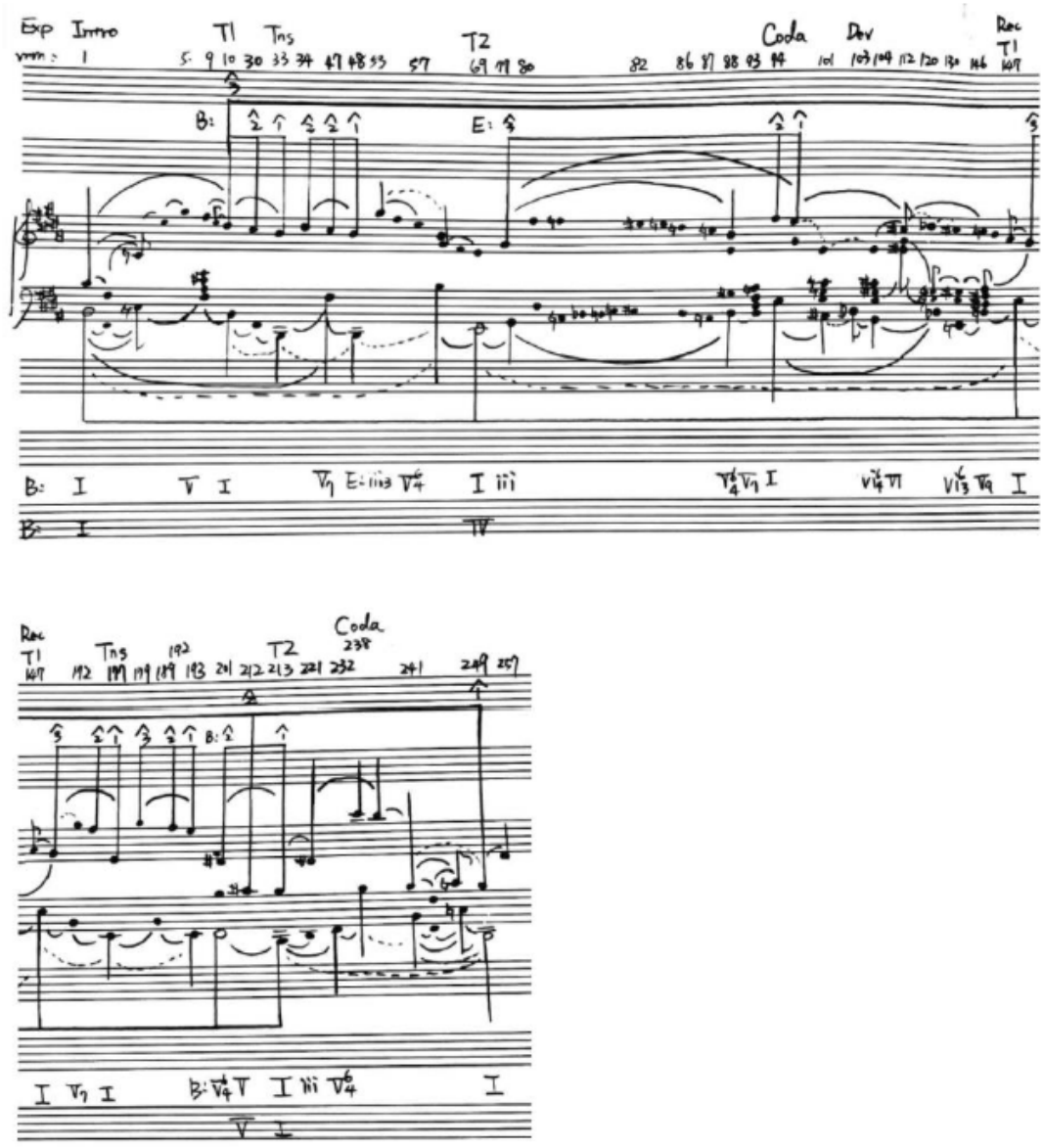
(2) The subdominant is found in five sections: the second theme and the coda in the exposition, the development, and the first theme and the transition in the recapitulation. The length of a key is not in itself strong evidence to support my analysis, but it is worth bearing in mind.

(3) The music cannot wait to enter E: B is confirmed in m. 33 and the appearance of iii3/E in m. 53.

(4) The subdominant structural progression provides more completed, complex, and vivid changes of key. The two main key areas express the motion of I–iii–V (Ex. 5.1). It seems that Bortkiewicz is using the same idea to create a finer depiction of emotional struggle. For example, the process from a prolonged $V\frac{6}{4}$ in m. 88 passes through E major, switching between C# minor and C# major (mm. 104–30), then finally moves to V9 in m. 146. The

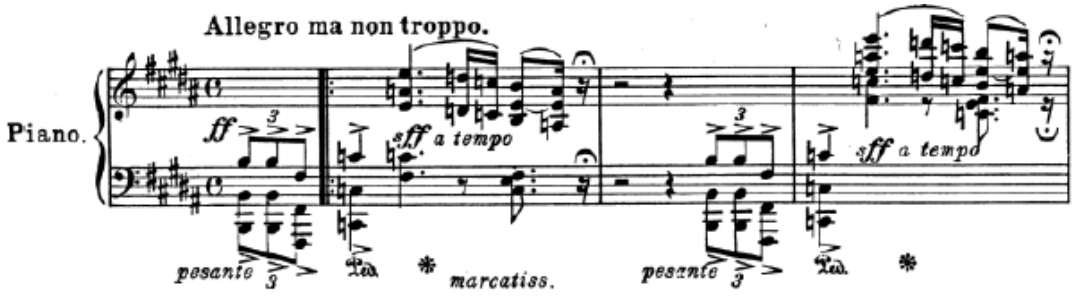
process provides a richer harmonic atmosphere. Moreover, a non-structural, almost imperceptible, and we can say deformed motion of I–V is inserted in this enormous subdominant-key area. In the bass progression, E appears in m. 94 (coda in the exposition) as the tonic, then goes to A# in m. 101 (enharmonic Bb, which is the deformed V of E). After several hesitations, the progression wanders among chromatic and enharmonic chords, then comes back to E. Alternatively, we could view the A# as the IV# of the key of E, and it corresponds to the use of the subdominant in structural, motivic ways, and setting the whole movement.

Musical Example 5.1: Bortkiewicz, Piano Sonata No. 1, I, Schenkerian analysis

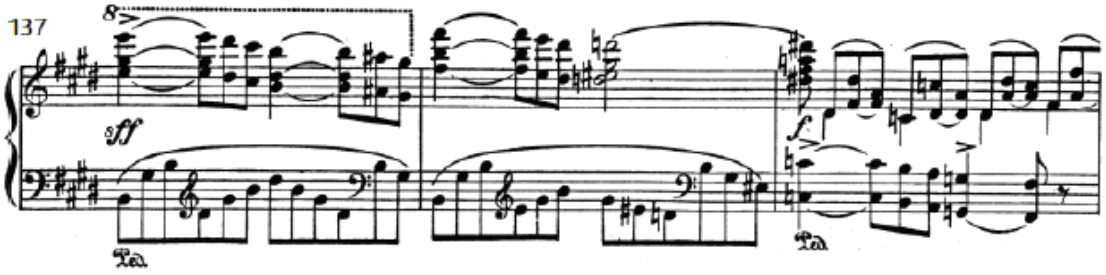


Although the center of this movement is the subdominant, the subdominant recapitulation functions as a passing-tone as Mozart's K. 545 (by Wen) and Schubert's "Trout" Quintet. The final goal of most works is of course the tonic; thus, the purpose of this important subdominant recapitulation is to lead the music return to the tonic through the dominant. The subdominant key in mm. 69–212 (the second theme in the exposition to the end of the transition in the recapitulation) constructs a huge "passing section" for sliding to V, then comes back to I.

Musical Example 5.2: Bortkiewicz, Piano Sonata No. 1, I, motives taken from introduction and may be preparing for first theme in recapitulation



The introduction



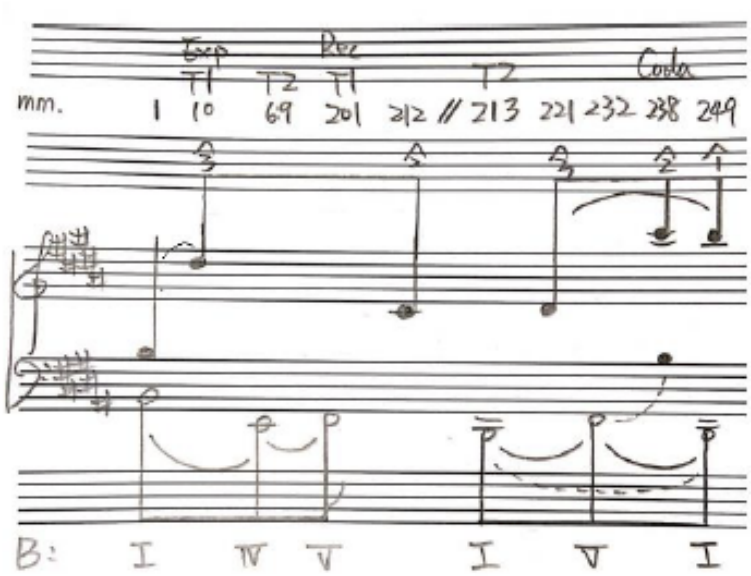
The end of the development

Based on Levy's concept mentioned in chapter 3, I assume that the first theme prepares the transition, which should function as a way to move to another key. Moreover, the second half of the transition (m. 57) is a preparation for the second theme. Is it possible that Bortkiewicz was referring to Schubert's special idea and made it bolder? Another possible inspiration from Schubert is using the motives, including a thematic motive from the introduction, to construct the preparation section for introducing the arrival of the first theme

in the recapitulation (see Ex. 5.2). As mentioned in chapter 3, Schubert reintroduces the first theme in the recapitulation through thematic and harmonic similarity and rhythmic and textural similarity, and Bortkiewicz uses the idea as well.

As with the previously mentioned analyses of Mozart, Beethoven, and Schubert's works, Bortkiewicz's Piano Sonata No.1 shares the same trait: a fundamental structure without interruption (see Ex. 5.1). However, we can also consider a fundamental structure with an interruption as a possibility. Example 5.3 shows an interruption according to Schenkerian conventions before the second theme (m.213) in the recapitulation. This possibility consists of a single massive antecedent (the exposition, development, and the first theme in the recapitulation) and a much shorter consequent (the second theme in the recapitulation and coda). In my opinion, the first possibility makes more sense because: (1) It preserves a better structural balance. (2) Borkiewicz indicates soft dynamics for the two sections (before the second theme and the second theme in the recapitulation) and only uses *poco rit* to separate the two sections. These factors do not show a strong sign of a structural interruption.

Musical Example 5.3: Bortkiewicz, Piano Sonata No. 1, I, Schenkerian analysis with an interruption



In addition to the element of "four," including the employment of the subdominant and fourth-interval motion appearing at the beginning (B jumps down to F#), second intervals and tritones are the basic and ubiquitous motivic elements in this movement. For example, the opening motive consists of a fourth interval (B–F#), a second interval (B–C), and a tritone (F#–C). The second-interval motive not only occurs at the beginning (B–C), but also shows up as an opening motive in the first theme (E–D#). The opening melody of the transition comprises a fourth (D# moves down to A#) and a second (A#–B) and a tritone (B–E#). It seems that Bortkiewicz introduces these motives and uses them to unfold each section and takes turns between the two "groups," the introductory section and the section of being unfolded by these introductory materials, to complete this movement.

As shown in Figure 5.1, if we see the development as an enormous second introduction, then with the recapitulation it forms a second section. Finally, the music comes back to the introduction-like passage and heroically ends with it. Briefly speaking, the arch shape is presented here by motivic aspects: introducing motives, displaying motives, reintroducing motives, displaying motives, and the introductory motive serving as the conclusion of this movement.

Figure 5.1: Bortkiewicz, Piano Sonata No. 1, I, overall structure

Introduction + Exposition		Development + Recapitulation		Introductory Coda
Introduce motives	Display and develop motives	Reintroduce motives	Display and develop motives	Conclusion

5.3 Conclusion and Interpretation

In analyzing this movement, influences and inspirations from Bortkiewicz's predecessors can be traced. Nevertheless, he did not directly "copy" these ideas, but used

and transferred them in his own way, including a strong feeling for the subdominant.

The analysis also prompts a possible interpretation: Bortkiewicz may be describing the process of seeking his life purpose in this movement. The tonic represents the purpose pursued by the protagonist; that would explain why he did not confirm the exact key in the introduction. The protagonist longs to find his or her purpose; however, Fate does not answer directly. The falling dissonant intervals and chords depict the tense atmosphere. When the direction of finding purpose gradually becomes clear, the protagonist feels happy knowing where he or she should move on (from the first theme to the end of the transition). The second theme in the exposition is time to run toward the target excitedly, especially as a young person who is not afraid of everything. More significantly, the key modulates to the subdominant, E, and makes the music brighter and more lively.

People generally must experience various tests before they reach their goals. The development depicts how Fate challenges the willpower of the protagonist; thus, the opening motives of the introduction reappears. The materials that appeared in the previous sections recur here to fit the situation: fierce emotions and anxiety about not receiving answers. However, the protagonist still has hope in mind. The temporary major keys appear in mm. 112–19, but the music is immediately faced with severe challenges. The first theme in the recapitulation symbolizes that the protagonist is almost there. Instead of *mf* in the exposition, Bortkiewicz indicates *p* for the first theme in the recapitulation to present the break after intense fighting, and then the music floats like spiritual achievement. After experiencing the challenges of life, the protagonist has become more mature and treats himself or herself tenderly for seeking the life purpose. The second theme in the recapitulation returns to the tonic, which means that the protagonist achieves the goal and is excited, “reaching the sky.” But pursuing one’s life's purpose is an endless cycle: as people complete a goal, a new one

emerges. Perhaps the introductory passage that appears at the end symbolizes the start of a new goal and the more mature protagonist will now face it unwaveringly.

CHAPTER 6

ANALYSIS OF THE FIRST MOVEMENT OF BORTKIEWICZ'S PIANO SONATA NO. 2 IN C# MINOR, OP.60

6.1 The Background of Bortkiewicz's Second Piano Sonata

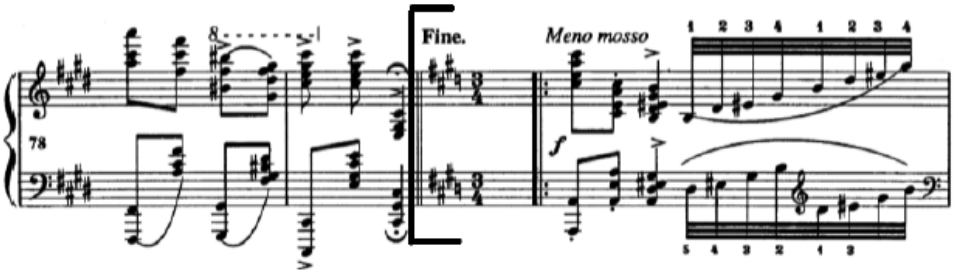
Bortkiewicz's Piano Sonata No. 2 in C# minor, Op. 60, dedicated to the Austrian librarian and art historian Hans Ankwicz-Kleehoven, was composed around 1940, although until a printed proof of this work (and his Opp. 58, 61, and 64) was found in 2013, it was not published. Bortkiewicz premiered this sonata in the Brahms-Saal of the Musikverein in Vienna in 1942; only one other pianist, Hugo van Dalen, performed this piece during the composer's lifetime.[122]

This sonata consists of four distinctive characteristic movements. The first movement (Allegro ma non troppo) has a passionate character in the first theme and an expressive, melancholy second theme. The second movement (Allegretto) comprises three sections (ABA) in C# minor, the key of the first movement, although it modulates to A major in the middle section (Meno mosso). Unusually, this middle section is itself divided into two sections, each with a different character and key. Bortkiewicz uses similar motives from the opening in the second movement (but inverted), to start the first, dance-like part of the middle section in A major. Then the music moves to the later section without a break and the key returns to C# minor before the last section. Moreover, the dance character changes to a serious and heavy atmosphere in the second half of the middle section (Ex. 6.1). The third movement (Andante misericordioso) opens with a series of chords sounding like bells (Ex. 4.1). The music is in an unconfirmed C# major at the beginning, then the key enharmonically

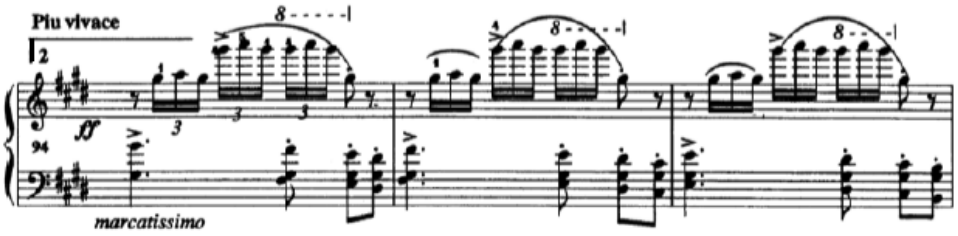
[122] Kalkman, "Sergei Bortkiewicz."

slides into Db major for the main melody, a sweet nocturne with a church hymn (Religioso) inserted. After this innocent passage, the music comes back to the main melody, then ends in chords from the introduction. The mad and wild final movement is marked Agitato (ma poco a poco animando), reminiscent of the Piano Sonata No. 3, IV, by Scriabin. Notably, this movement starts in C# minor, while ends in magnificent C# major, corresponding to the passionate first movement.

Musical Example 6.1: Bortkiewicz, Piano Sonata No. 1, I, division into parts



The first part of the middle section



The second part of the middle section

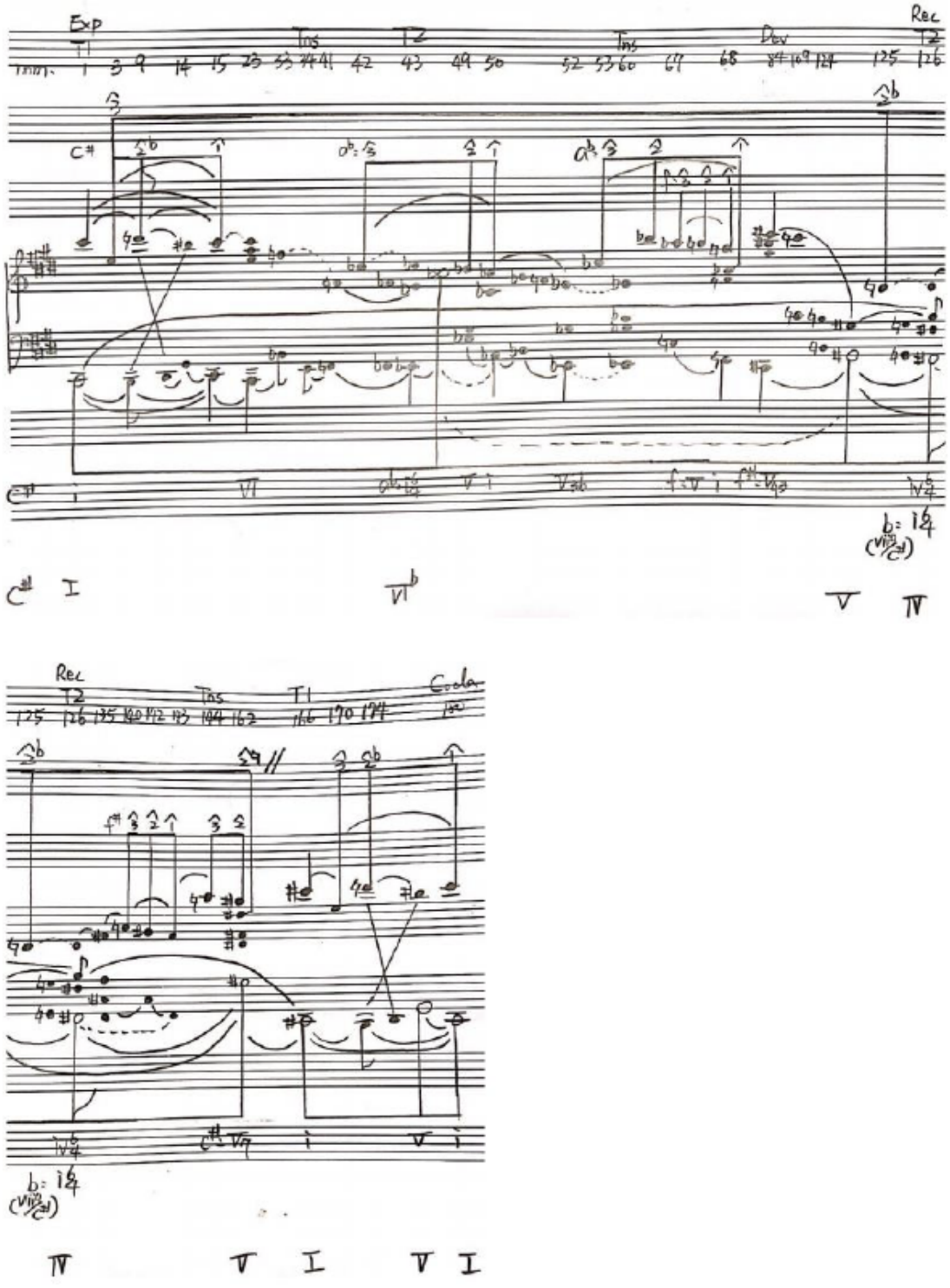
6.2 Analysis of the First Movement of Bortkiewicz's Piano Sonata No. 2, Op. 60

How can composers describe tragedy or twisted destiny through musical means in a sonata structure? Two of the methods are: (1) reversing the order of groups in the recapitulation; (2) using other keys to replace the tonic in the recapitulation. Jackson describes these processes as cruel Destiny upsetting both sonata layouts and destroys harmonic-tonal structure.[123]

[123] Jackson, "Tragic Reversed Recapitulation," 66.

The most significant structural feature of this sonata is the reversed subdominant recapitulation. Bortkiewicz delays the first theme and makes it follow the subdominant second theme in the recapitulation. In other words, he uses the subdominant for the second theme and switches the order of the first and second themes in the recapitulation.

Musical Example 6.2: Bortkiewicz, Piano Sonata No. 2, I, Schenkerian analysis



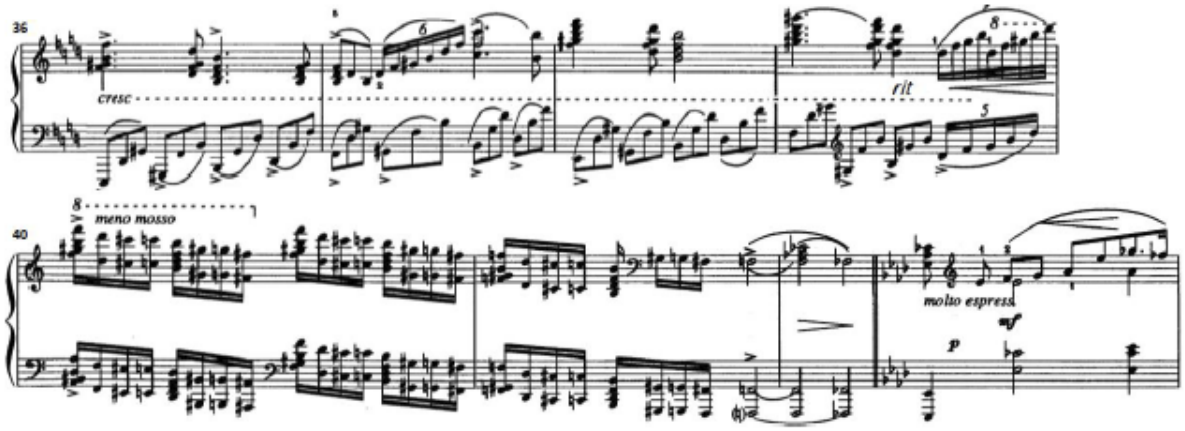
Example 6.2 analyzes how the subdominant recapitulation serves as a lower neighbor-tone between the prolonged and the deformed dominant. The initial structural V camouflages itself as VIb (VIb enharmonically is V in minor keys) and appears in the top voice in m. 43. Interestingly, Bortkiewicz ties both second themes together with a reversed formal design. Moreover, the second theme in the recapitulation is like an extension or shadow of the same theme that appeared in the exposition. The second theme in the recapitulation accumulates emotional energy through the V in mm. 162–65 and erupts in the first theme with tonic return in m. 166. The VIb in m. 43 is important, since it is not only the enharmonic V, but also the reflection of III, the lower and upper third of the tonic, respectively. Schubert used the upper third as the path of the tonic motion; however, Bortkiewicz turns it upside down. Furthermore, before the arrival of the second theme in the exposition, the music has a strong, passionate character. The contrasting second theme naturally draws attention to itself, since it is the first time the lyrical melody appears.

The melodic motive occurring in the development in m. 84 sounds like a tonic return, but it actually relates to the prolonged V in m. 124. The music never confirms the tonic; rather, it keeps moving to its target, V. In addition, from the F-minor chord in m. 68 to a C#-minor chord, it uses another type of enharmonic technique: F–C#, an augmented-fifth interval, is equivalent to the minor-sixth interval, F–Db, and it shares the same idea as the structural progression I–VIb=V in a reversed way. Moreover, the development is a gray area of two keys, since the C# can be read as the lower fifth of the later G# and is still in the V progression. However, it can also be viewed as the dominant of F#, the key of the second theme in the recapitulation. Figuratively speaking, one foot of the music has already stepped into the new key area, but another foot still stays behind.

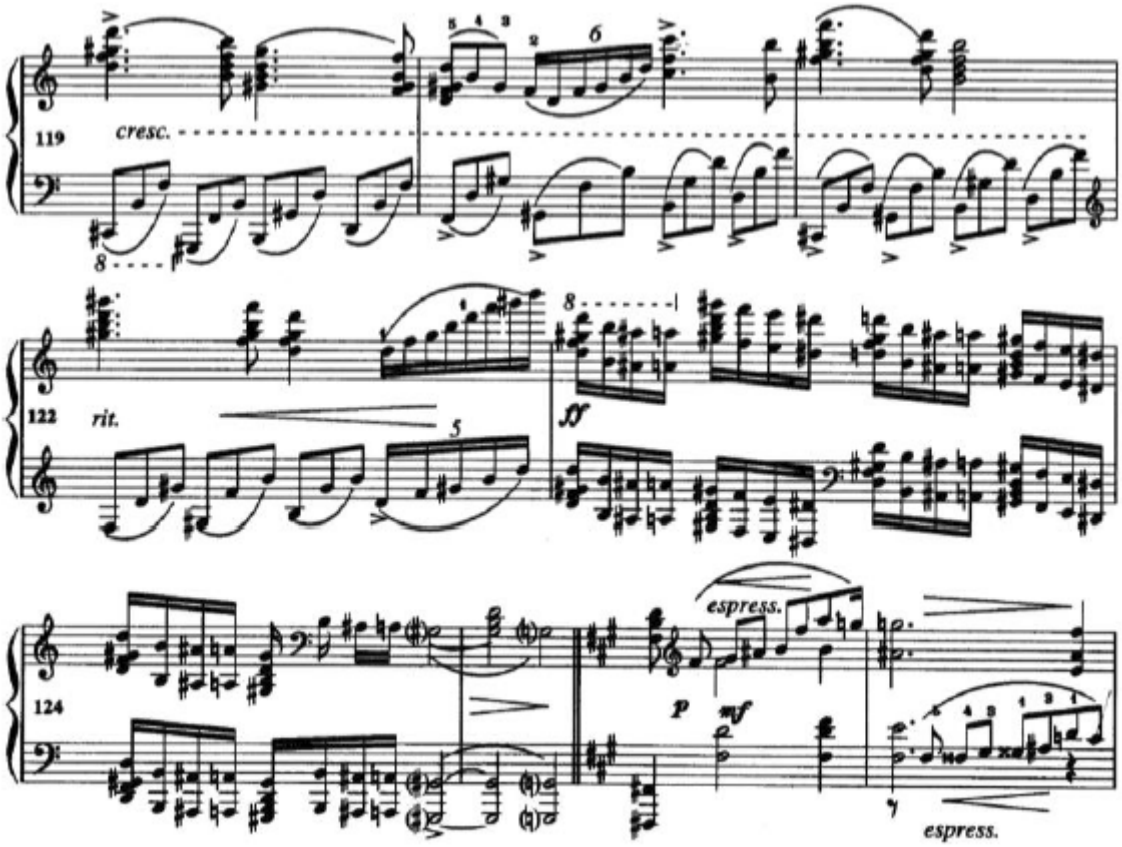
The compositional technique of using previous materials to prepare the opening

theme in the recapitulation, as in Schubert's "Trout" Quintet, can be found not only in the first movement of Bortkiewicz's first piano sonata but also in this movement. Since the second theme appears first in the recapitulation, he uses the transition materials that occur before the second theme in the exposition to prepare the recapitulation. Thus, he naturally combines the development and the recapitulation (see Exx. 6.3 and 6.4).

Musical Example 6.3: Bortkiewicz, Piano Sonata No. 2, I, mm. 36–43

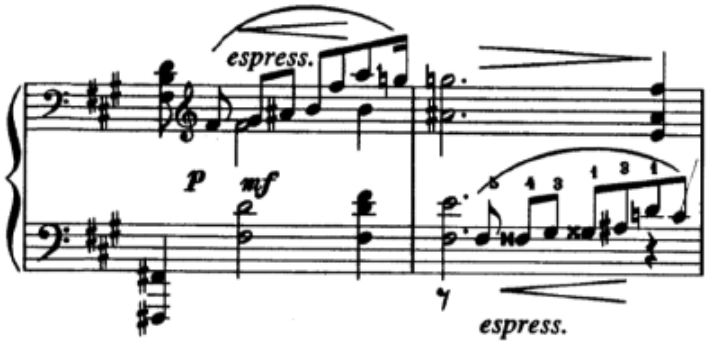


Musical Example 6.4: Bortkiewicz, Piano Sonata No. 2, I, mm. 119–27



Double keys existing at the same time are crucial in this movement. As shown in Ex. 6.5, the key signature is F# minor at the second theme in the recapitulation; nevertheless, the melody evokes B minor. Therefore, this section can be analyzed in B minor, the lower neighbor key of C# minor. Pursuing this interpretation further, we notice that the whole structure can be understood as a colossal neighbor-note motion (C#–B–C#) at another, deeper structural level.

Musical Example 6.5: Bortkiewicz, Piano Sonata No. 2, I, mm. 126–27



Another possible reading is treating B as vii♮/C#. Bortkiewicz uses the subdominant recapitulation to avoid the tonic return but employs B, the key almost at the tonic, to hint that the music is going to come back to the tonic or may symbolize that the tonic is hidden here. A similar idea, the double key, shows up in mm. 67–68 (see Ex. 6.2). In a large layer, the structural key still stays in Ab minor, but there is a temporary tonicization of F minor, which creates the effect of switching to the "submediant" key the enharmonic way with the following C# (C# is harmonically Db; thus it can be viewed as a sixth). The progress mirrors the reversed motion of C# to Ab (deformed sixth) from the beginning to the second theme in the exposition.

Besides the deformed bass progression, Bortkiewicz twists the structural $\hat{2}$ into $\hat{2}^{\flat}$ in the melodic line in mm. 9, 125, and 174. Beethoven uses a similar concept in his *Coriolan* Overture (Ex. 2.8); perhaps not coincidentally, both pieces have a tragic character. Bortkiewicz

seems to fix the deformed $\hat{2}^{\flat}$ and let the descending-third progression in the top melody come back to the normal route; thus $\hat{2}^{\natural}$ appears before the first theme based on the tonic in m. 162. Nevertheless, $\hat{2}^{\flat}$ still recurs in the last section, perhaps to express cruel Fate.

Differing from Bortkiewicz's first piano sonata, there is an interruption before the tonic return in the recapitulation between mm. 165 and 166. The interruption divides this movement into two groups: the first huge group, I–VIb=V–IV–V, and the last group, I–V–I (see Ex. 6.2). On the musical surface, Bortkiewicz marks a fermata before the beginning of the first theme in the recapitulation between mm. 165 and 166, thus generating a powerful moment with a structural interruption to restart the last group, I–V–I.

6.3 Conclusion and Interpretation

If we were to use one word to depict this movement's character, it would be *pathétique,* as in Tchaikovsky's Sixth Symphony. The overflowing emotion, deeply missing the homeland, and the mood of fighting against Fate are embodied in the musical language. Kalkman describes the sonata in this way: "Bortkiewicz seems to summarize his life in musical language: love for his homeland Russia, adversity, hope and perseverance."[124]

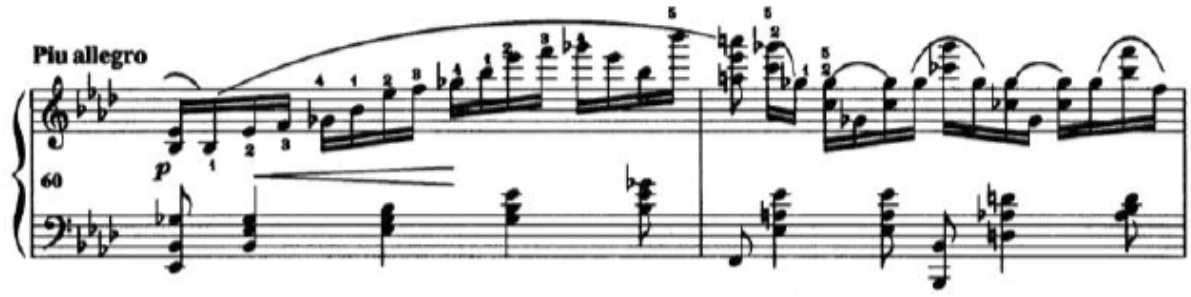
From a young man to elderly, rich to poor, rosy prospects to struggling to survive, having experienced several miseries in life, Bortkiewicz's two piano sonatas, written far apart in his life, have different moods. The protagonist seeks a life purpose with optimism in the first movement of the first sonata, whereas he has gone through the vicissitudes of life in the second piano sonata. Thus, compared with the first sonata, the first movement of the second sonata reveals more deformed elements, including the form, the direction of progressions, and enharmonic components.

[124] Kalkman, "Sergei Bortkiewicz."

In my view, the second sonata is concerned with reality, presented by the tonic, and memories, depicted by the prolonged dominant and the subdominant, including the two second themes and the development. The first theme in the exposition based on the tonic represents the protagonist accusing cruel Fate; then the diminished transition means the difficulties in his life. The melancholy duet between two registers in the second theme symbolizes unstoppable yearning for the beautiful things of the motherland. However, this illusory theme is structurally built on VIb, a deformed V, which means that these memories cannot be real again. When the structural VIb switches to V, the protagonist is gradually awakened from memories (the tonic is coming, since the second theme can be read as viiᵸ/C# at another level).

Musical Example 6.6: Bortkiewicz, Piano Sonatas No. 1 and 2, I, two important parts

Bortkiewicz, Piano Sonata No.1, I, the second theme



Bortkiewicz, Piano Sonata No.2, I, the transition in the exposition

The transition after the second theme in the exposition shares similar traits, including key design, rhythmic pattern, and musical direction, with the second theme of the first

movement of the first sonata. Example 6.6 clearly shows the similarity of the two sections. The second theme in the first sonata is based on E major and depicts that the protagonist is running excitedly toward the target; the transition in the second sonata is based on an Eb-minor chord and symbolizes that the protagonist is struggling to fight Fate.

The sighing melodic motives of the first theme, occurring in the development, whisper his unfortunate experiences with the oppressive mood represented in the bass. When the protagonist thinks about the happy life which he used to have, the music temporarily tonicizes to major keys in mm. 96–108, then the materials from the transition in the exposition suddenly break the beautiful memory.

There are three possible meanings of the subdominant second theme in the recapitulation: (1) Bortkiewicz may want to stay in his memories, so he delays the double return. (2) He is perhaps implying that the miserable reality of his life is still here with him, since the vii♮ is almost arrives at the tonic. (3) The neighbor-tone motion C#–B–C# on a large level (mm. 1, 126, and 166), which presents memories, is a transient moment for him to take a breath in the cruel life, as B, the lower neighbor-tone, provides a different color than C#.

It looks as if Bortkiewicz is trying to fix his tragic Fate and making his life come back to normal through using $\hat{2}\natural$ in m. 162, and both the structural interruption and the fermata support his preparation. The tonic return means that he has come back to reality from his memories. Due to the delay, the tonic return becomes the peak of this movement and more powerful, forcing Bortkiewicz to face and fight with reality. The last few $\hat{2}\natural$ hint at his vain hope without the strong support of V.

CHAPTER 7

CONCLUSION

By analyzing compositions and understanding the backgrounds of composers and their works, researchers and musicians can comprehend the main structure of a piece and discover significant details. For example, after reading analyses of Mozart, Beethoven, and Schubert's works by different experts, we can find how these composers broke conventions and built new ways to present their thoughts. Furthermore, different theorists have provided various interpretations to broaden performers' horizons and help them find or create persuasive and fresh interpretations to support their performance.

Bortkiewicz's two piano sonatas share the same traits, including the subdominant recapitulation, and using the previous material to prepare the next section. He proves that he was not conservative by using the subdominant recapitulation, although he disliked modern music. Ideas of using the subdominant, deformed structure or format, the connection of the music and literature, borrowing specific themes (for example, his art song "Allein") or melodies all reveal that Bortkiewicz digested the essence from his predecessors and contemporaries, transferring these ideas to his requirements. The initial dominant is back-related to the tonic, as in the analysis of Mozart's K. 545 by Wen. The tonic's unshakable status in Mozart's K. 545 is apparent; however, in Bortkiewicz's first sonata, the subdominant is almost as important as the tonic, so the composer weakens the weight of the tonic. Another example: the subdominant recapitulation functions as a lower neighbor-tone, as in the analysis of the *Coriolan* Overture by Suurpää, whereas unusually the enharmonically VIb substitutes for V. Both works have a tragic character, but in different ways and with different structures. Moreover, in the bass progression, Bortkiewicz uses the lower third based on the

tonic to lead the music to the next key area, as Schubert did in the "Trout" Quintet with an inverted way (the upper third).

How can we determine our interpretation? As with free will, [125] are we able to decide the interpretation by ourselves, or is our interpretation made by a series of previous existing causes, as determinism?[126] What if our interpretation is based on the known background of the composers and works, analysis, and our own life experience, just as the destiny of Coriolanus was determined by the playwright? Such philosophical questions have no correct answers, just as there is no correct interpretation. Thus, these various analyses by theorists provide opportunities for musicians and researchers to create thoughtful and fresh interpretations.

[125] Encyclopædia Britannica, s.v. "Free Will," https://www.britannica.com/topic/free-will, accessed January 17, 2021. The definition of free will: "in humans, the power or capacity to choose among alternatives or to act in certain situations independently of natural, social, or divine restraints."

[126] Encyclopædia Britannica, s.v. "Determinism," https://www.britannica.com/topic/determinism, accessed January 17, 2021.

APPENDIX

MUSICAL EXAMPLES CONSULTED

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